DOCUMENT RESUME

ED 386 495 TM 024 069

TITLE	Biennial Evaluation Report. Fiscal Years 1993-1994.
INSTITUTION	Department of Education, Washington, DC. Office of the Under Secretary.
PUB DATE	95
NOTE	761p.
AVAILABLE FROM	U.S. Department of Education, Planning and Evaluation Service, Office of the Under Secretary, 600 Independence Avenue, S.W., Washington, DC 20202-8170.
PUB TYPE	Statistical Data (110) -- Reports - Evaluative/Feasibility (142)
EDRS PRICE	MF04/PC31 Plus Postage.
DESCRIPTORS	*Academic Achievement; Adult Education; Compensatory Education; Educational Finance; Educational Improvement; Educational Innovation; Educational Policy; Educational Practices; *Educational Research; *Elementary Secondary Education; Federal Government; *Federal Programs; *Financial Support; Higher Education; Outcomes of Education; Program Descriptions; *Program Evaluation; Vocational Education
IDENTIFIERS	Educational Indicators; Education Consolidation Improvement Act Chapter 1; Office of Educational Research and Improvement

ABSTRACT

This biennial report is the 22nd report to the Congress on federally funded education programs and the 13th such report submitted by the Department of Education in fulfillment of a Congressional mandate. For FY 1993-94, there is information on 154 programs administered by the Department. Programs are grouped according to the administering office of the Department of Education: Office of Elementary and Secondary Education, Office of Bilingual Education and Minority Languages Affairs, Office of Special Education and Rehabilitative Services, Office of Vocational and Adult Education, Office of Postsecondary Education, and Office of Educational Research and Improvement. Available information is presented on the purpose, funding, target population, services, administration, effectiveness, management improvement strategies, and sources of information for those programs. Planned studies are briefly outlined. Overviews of postsecondary education, vocational and adult education discuss the purposes, funding, governance, services, and outcomes of the Department's major programs in these areas. Chapters describing programs have a subsection on performance indicators where such information is available. This report summarizes evaluation findings on what helps program participants to increase their achievement or improve their performance. (SLD)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

TM

BIENNIAL EVALUATION REPORT

ED 386 495

Fiscal Years
1993-1994

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☑ This document has been reproduced as received from the person or organization originating it

☐ Minor changes have been made to improve reproduction quality

- Points of view or opinions stated in this document do not necessarily represent official OERI position or policy

TM024069

U.S. DEPARTMENT OF EDUCATION • Office of the Under Secretary
Richard W. Riley, Secretary of Education

BEST COPY AVAILABLE

BIENNIAL EVALUATION REPORT

FISCAL YEARS 1993-1994

RICHARD W. RILEY, SECRETARY
U.S. DEPARTMENT OF EDUCATION

OFFICE OF THE UNDER SECRETARY

FOREWORD

This is the 22nd report to the Congress on federally funded education programs and the thirteenth such report submitted by the Department of Education. The Biennial Evaluation Report responds to the Congressional mandate in Section 425(a) and (b) of the General Education Provisions Act. The first report under the mandate is due March 31, 1995.

For the FYs 1993-1994 report, there is information on 154 programs administered by the Department during those years. The report gives available information on the purpose, funding, target population, services, administration, effectiveness, management improvement strategies, and sources of information for those programs. It briefly describes planned studies.

The Overview for postsecondary education reviews the contribution of the Department's programs in ensuring access to postsecondary education and ensuring quality at postsecondary institutions participating in those programs. The Overview for vocational and adult education discusses purposes, funding, governance, services, and outcomes of the Department's major programs in those areas.

Program chapters have a subsection on program performance indicators where such information was available. This subsection responds to the need for information on how the Department's programs are helping to implement the National Goals for education, and to the future reporting requirements of the Government Performance and Results Act of 1993. The Department is systematically developing performance indicators for its programs as part of its Strategic Plan which describe currently available performance measures. Future editions of this report will contain performance indicators, and data from performance measurement based on those indicators, for an increasing number of the Department's programs.

As in past editions, this report summarizes evaluation findings on what helps program participants to increase their achievement or improve their performance. We hope that evaluation findings and management improvements will contribute to making Federal programs work even better.

I welcome your suggestions on making the Biennial Evaluation Report more useful in your work.

Marshall S. Smith
Under Secretary

ACKNOWLEDGMENTS

For this report, the Planning and Evaluation Service in the Office of the Under Secretary continued the effort to improve technical and editorial quality. Edward Glassman was again responsible for managing report preparation. Division Directors Valena Plisko and Ricky Takai, and Acting Division Directors Daniel Goldenberg and Robert Berls, reviewed all chapters on appropriate programs and prepared the Overview sections. All analysts in PES contributed through researching, writing, and revising program chapters. Secretaries Yvonne Briscoe, Azalea Saunders, and Angela Clarke typed numerous drafts and prepared the final camera-ready copy for printing. Each program office helped with comments on draft chapters about its own programs. The Budget Service in the Office of the Under Secretary, the Office of General Counsel, and the Office of Legislation and Congressional Affairs, made valuable corrections in draft materials for the entire report. The Office of Public Affairs did the technical editing and prepared the index to the report. I thank them all for a job well done.

Alan L. Ginsburg
Director, Planning and Evaluation Service

For additional copies, contact:

Ms. Geneise Cooke
U.S. Department of Education
Planning and Evaluation Service
Office of the Under Secretary
600 Independence Avenue, SW
Washington, DC 20202-8170
Telephone (202) 401-3279

CONTENTS

Foreword i

Acknowledgments ii

Chapter Number*

1. Office of Elementary and Secondary Education

Education of Disadvantaged Children (Chapter 1, ESEA) Formula Grants to Local Education Agencies 101
Migrant Education Program (MEP)(Chapter 1, ESEA) Formula Grants to State Education Agencies 102
Formula Grants to States for Neglected or Delinquent Children 103
Even Start Program 104
Federal, State, and Local Partnership for Educational Improvement 105
General Assistance to the Virgin Islands 106
Civil Rights Technical Assistance and Training 107
Follow Through--Grants to Local Education Agencies and other Public and Private Nonprofit Agencies 108
Impact Aid: Maintenance and Operations 109
Impact Aid: Construction 110
Allen J. Ellender Fellowships 111
Indian Education--Financial Assistance to Local Education Agencies and Indian-Controlled Schools for the Education of Indian Children--Subpart 1 112
Special Programs for Indian Students--Subpart 2 113
Special Programs for Indian Adults--Subpart 3 114
Drug-Free Schools and Communities--State and Local Programs 115

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

Chapter Number*

Drug-Free Schools and Communities--Regional Centers Program 116
Drug-Free Schools and Communities--Hawaiian Natives Program 117
Drug-Free Schools and Communities--Indian Youth Program 118
Drug-Free Schools and Communities--School Personnel Training Grants Program 119
Drug-Free Schools and Communities--Demonstration Grants Program 120
Drug-Free Schools and Communities--Federal Activities Grants Program 121
Drug-Free Schools and Communities--Counselor Training Grants Program 122
Drug-Free Schools and Communities--Emergency Grants Program 123
Christa McAuliffe Fellowship Program 124
Women's Educational Equity 125
Migrant Education--High School Equivalency Program (HEP) and College Assistance Migrant Program (CAMP) . . . 126
Educational Improvement Partnerships--National Programs Arts in Education 127
Educational Improvement Partnerships--National Programs Inexpensive Book Distribution 128
Educational Improvement Partnerships--National Programs Law-Related Education 129
Education for Native Hawaiians 130
Dwight D. Eisenhower Mathematics and Science Education State Grant Program 131
Magnet Schools Assistance Program 132
Education for Homeless Children and Youth 133
School Dropout Demonstration Assistance Program 134
Foreign Languages Assistance 135

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

Chapter Number*

2. Office of Bilingual Education and Minority Languages Affairs

Bilingual Education Programs--Discretionary Grants to Local Education Agencies--Part A 201
Bilingual Education Programs--Data Collection, Evaluation, and Research--Part B 202
Bilingual Education Programs--Training and Technical Assistance--Part C 203
Emergency Immigrant Education Program 204

3. Office of Special Education and Rehabilitative Services

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools (Chapter 1, ESEA) 301
Grants to States Program for Disabled Children and Youth . . 302
Preschool Grants for Children with Disabilities 303
Handicapped Regional Resources and Federal Centers Program 304
Services for Children with Deaf-Blindness 305
Early Childhood Education Program for Children with Disabilities 306
Program for Children with Severe Disabilities 307
Postsecondary Education Program for Individuals with Disabilities 308
Training Personnel for the Education of Individuals with Disabilities. 309
Clearinghouses for Individuals with Disabilities 310
Research in the Education of Individuals with Disabilities 311
Captioned Films, Television, Descriptive Video Educational Media for Individuals with Disabilities . . . 312
Special Studies 313
Secondary Education and Transitional Services for Youth with Disabilities 314
Program for Children with Serious Emotional Disturbance . . 315
Grants for Parent Training 316

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

Chapter Number*

Removal of Architectural Barriers to Individuals with Disabilities 317
Early Intervention Program for Infants and Toddlers with Disabilities 318
Technology, Educational Media, and Materials for Individuals with Disabilities 319
National Institute on Disability and Rehabilitation Research (NIDRR) 320
Rehabilitation Services--Basic State Grants 321
Client Assistance Program (CAP) 322
Discretionary Project Grants for Training Rehabilitation Personnel 323
Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Disabilities 324
Supported Employment Projects for Individuals with Severe Disabilities 325
Projects for Initiating Special Recreation Programs for Individuals with Disabilities 326
Projects for Migratory Agricultural Workers and Seasonal Farm Workers with Disabilities. 327
Helen Keller National Center (HKNC) for Deaf-Blind Youths and Adults 328
Projects with Industry Program (PWI) 329
Centers for Independent Living (CIL) 330
Vocational Rehabilitation Services for American Indians with Disabilities 331
Independent Living Services for Older Individuals Who Are Blind. 332
Comprehensive Services for Independent Living 333
Supported Employment State Grants Program for Individuals with the Most Severe Disabilities 334
Special Institutions for the Handicapped 335
Technology-Related Assistance 336
Protection and Advocacy of Individual Rights (PAIR) 337

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

4. Office of Vocational and Adult Education

OVERVIEW Learning for Life and Work . . . . OVA
Vocational Education--Basic Grants to States 401
Vocational Education--Indian and Hawaiian Natives Programs 402
Vocational Education--Community-Based Organizations Programs 403
Vocational Education--Consumer and Homemaking Education 404
Vocational Education--Tech-Prep Education 405
Vocational Education--Tribally Controlled Postsecondary Vocational Institutions 406
Vocational Education National Program--Research. 407
Vocational Education National Programs--Demonstrations. 408
Bilingual Vocational Education Programs--Discretionary Grants 409
Adult Education--Grants to States 410
Adult Education--National Programs --Evaluation and Technical Assistance 411
Adult Education for the Homeless Program 412
Adult Education--National Workplace Literacy Program 413
Adult Education--State-Administered English Literacy Grants. 414
State Literacy Resource Centers 415
Adult Education--Life Skills for State and Local Prisoners Program. 416

5. Office of Postsecondary Education

OVERVIEW Ensuring Access and Quality in Postsecondary Education Programs . . . . OPS
Federal Pell Grant Program 501
Federal Family Education Loan Program 502
Supplemental Federal Educational Opportunity Grant Program . 503
Federal Perkins Loan Program 504
Federal Work-Study Program 505
Income-Contingent Loan Demonstration Program 506

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

Chapter Number*

State Student Incentive Grants 507
Upward Bound 508
Talent Search 509
Educational Opportunity Centers 510
Student Support Services 511
Veterans' Education Outreach Program 512
Fund for the Improvement of Postsecondary Education 513
Training Program for Special Programs--Staff
and Leadership Personnel 514
Strengthening Institutions Program
(Title III, Part A) 515
Strengthening Historically Black Colleges and
Universities (Title III, Part B) 516
Endowment Challenge Grants (Title III, Part C) 517
Minority Science and Engineering Improvement
Programs (MSIP) 518
Law School Clinical Experience Program 519
Assistance for Training in the Legal Profession 520
Patricia Roberts Harris Fellowship Program 521
Fulbright-Hays Training Grants Program 522
International Education and Foreign Language
Studies 523
Cooperative Education 524
College Facilities Loan Program 525
Interest Subsidy Grants 526
School, College, and University Partnerships Program 527
Jacob K. Javits Fellowships Program 528
Paul Douglas Teacher Scholarship Program 529
Robert C. Byrd Honors Scholarship Program 530
Women and Minority Participation in Graduate Education 531
Graduate Assistance in Areas of National Need 532
Howard University 533
Drug Prevention Programs in Higher Education 534
Student Literacy Corps and Student Mentoring Corps 535
National Science Scholars Program 536
Ronald E. McNair PostBaccalaureate Achievement
Program 537
Urban Community Service Program 538

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

Chapter Number*

6. Office of Educational Research and Improvement

Territorial Teacher Training Assistance Program (TTTAP) Project Grants to Territorial Jurisdictions 601
Public Library Services--Grants to State Library Agencies 602
Public Library Construction--Grants to State Library Agencies 603
Interlibrary Cooperation and Resource Sharing--Grants to State Library Agencies 604
Library Services for Indian Tribes and Hawaiian Natives--Basic and Special Projects Discretionary Grants 605
Foreign Languages Materials Program 606
Library Literacy Program--Discretionary Grants to State and Local Public Libraries 607
College Library Technology and Cooperation Grants 608
Library Education and Human Resource Development--Discretionary Grants and Contracts 609
Library Research and Demonstrations--Discretionary Grants and Contracts 610
Strengthening Research Library Resources--Discretionary Grants to Major Research Libraries 611
National Writing Project 612
Educational Improvement Partnerships--National Programs National Diffusion Network 613
Dwight D. Eisenhower Mathematics and Science Education National Program 614
Dwight D. Eisenhower Mathematics and Science Education Regional Consortiums Program 615
Leadership in Educational Administration Development 616
Star Schools Program 617
Jacob K. Javits Gifted and Talented Students Education Program 618
Fund for the Improvement and Reform of Schools and Teaching, Family-School Partnerships, and Schools and Teachers Programs 619
Secretary's Fund for Innovation in Education 620
Educational Partnerships Program 621
Mid-Career Teacher Training Program 622

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

Chapter Number*

Civic Education Program 623
Educational Improvement Partnerships--National Programs
Blue Ribbon Schools. 624

Appendix -- Evaluation Contracts Active in OUS
During Fiscal Year 1993 . . . . A-1

Index to the Biennial Evaluation Report I-1

---

* Chapter numbers, followed by page numbers within chapters, appear in the upper-right corner of each page.

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

EDUCATION OF DISADVANTAGED CHILDREN (CHAPTER 1, ESEA)
FORMULA GRANTS TO LOCAL EDUCATION AGENCIES
(CFDA No. 84.010)

I. PROGRAM PROFILE

Legislation: Part A of Chapter 1 of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 2701 et seq.) (expires September 30, 1999).

Purpose: Chapter 1 provides financial assistance to local education agencies (LEAs) to meet the special needs of educationally deprived children who live in areas with high concentrations of children from low-income families. The 1988 Hawkins-Stafford amendments seek to improve further the educational opportunities of educationally deprived children by helping them succeed in their regular school program, attain grade-level proficiency, and improve achievement in basic and more advanced skills.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$1,015,153,000	1986	$3,062,400,000
1970	1,219,166,000	1987	3,453,500,000
1975	1,588,200,000	1988	3,829,600,000
1980	2,731,682,000	1989	4,026,100,000
1981	2,611,387,000	1990	4,768,258,000
1982	2,562,753,000	1991	5,557,678,000
1983	2,727,588,000	1992	6,134,240,000
1984	3,003,680,000	1993	6,125,922,000
1985	3,200,000,000	1994	6,336,000,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Where Chapter 1 Dollars Go

More than 53,000 schools--over half of all those in the country--receive Chapter 1 funds (III.3). Among them, 71 percent of public elementary schools and 30 percent of public secondary schools (grades 9-12) participate in the program. In addition, 53 percent of Catholic schools, 9 percent of other religious schools, and 9 percent of secular private schools enroll students who participate in the Chapter 1 program (III.3).

Despite widespread participation of schools in Chapter 1, some high-poverty schools and poor-performing students go unserved. Indeed, at the elementary level, almost half of the schools serving fewer than 10 percent poor children participate in Chapter 1, while 14 percent of schools serving more than 50 percent poor children receive no Chapter 1 funds (III.4). In addition, Prospects study data on first- and fourth-graders indicate that about one-third on the low-achieving children (who score at the 35th percentile on reading tests) in schools with poverty rates over 75 percent do not receive Chapter 1 services (III.2).

Chapter 1 Participants

In school year 1991-92, Chapter 1 served over 5.9 million children; 95 percent were enrolled in public schools. Chapter 1 participation is concentrated primarily (69 percent) in the elementary grades, and 8 percent of participants are enrolled in kindergarten and prekindergarten. Minorities are disproportionately represented in the program; 40 percent of participants are white, 27 percent are black, 28 percent are Hispanic, and the remaining 5 percent are American Indian/Alaska Native, or Asian/Pacific Islander. There has been a small but steady increase in the percent of Hispanic participants since 1985-86 with a concomitant decline in white participants over the same time period (III.6).

The wide participation in the Chapter 1 program results in a varied profile of students and schools. While Chapter 1 students represent a large proportion of enrollment in high-poverty schools they are also served in relatively well-off schools. Indeed, 38 percent of all Chapter 1 students are enrolled in schools with 0 to 34 percent poverty. At the same time, the average achievement of all students in high-poverty schools is about the same as Chapter 1 participants in low-poverty schools (III.1).

Chapter 1 students, do however, reflect a greater level of socioeconomic disadvantage than others. According to parents of fourth-graders, surveyed for the Prospects study (III.2):

- Forty-six percent of Chapter 1 participants receive free or reduced-price breakfast, and 65 percent receive subsidized lunch--in contrast to 21 and 33 percent, respectively, of all students.

- One-third of Chapter 1 families have total annual incomes of under $10,000, in contrast to 14 percent of all families of fourth-graders.

- Over one-fourth (28 percent) of Chapter 1 parents have not graduated from high school or earned an equivalency certificate, compared with 9 percent of parents of nonparticipants.

- Seventeen percent of Chapter 1 participants in 1991-92 were limited-English-proficient (LEP).

Instructional Services

Subjects Taught. While there are no statutory or regulatory limits on the subjects taught using Chapter 1 dollars, services are most commonly offered in reading, mathematics, and language arts. Chapter 1 reading is offered in more than 95 percent of elementary schools and 69 percent offer mathematics. Services are almost identical in middle/secondary schools (III.8). The provision of Chapter 1-supported instruction in English as a Second Language (ESL), however, has increased over time, and is more prominent in the middle/secondary grades than in elementary schools (III.8).

In 1991-92, more than 72 percent of all Chapter 1 participants received reading instruction, and 48 percent received mathematics instruction. Twenty-three percent received other language arts instruction and 16 percent received other instructional services (III.6).

Service Arrangements. The most common service arrangement continues to be pullout, that is, students are pulled from their regular classrooms in order to receive Chapter 1 services . However, the 74 percent of elementary schools that used pullouts in 1991-92 represent a decline from 84 percent in 1985-86. During the same period, the percentage of schools offering in-class instruction increased from 28 percent to 58 percent. The use of computer-assisted instruction also saw a dramatic increase from 31 percent of all Chapter 1 elementary schools to 51 percent, during the six-year period. Finally, while extended time programs (before- and after-school and summertime) are more common, they remain a small percent of the service models used (9 and 15 percent, respectively) (III.8).

Time Spent in Instruction. Chapter 1 instruction is typically offered for 30 minutes a day, five days a week. However, it only contributes about 10 additional minutes of academic instruction to each child's day. During 1991-92, 70 percent of elementary classroom teachers reported that students missed some academic subject during Chapter 1 reading/language arts instruction. Of this 70 percent, 56 percent indicated that students were missing regular reading/language arts activities during their Chapter 1 reading/language arts instruction (III.8).

Curriculum and Instruction. While the Hawkins-Stafford Amendments emphasized the need to teach more "advanced" skills, basic skills continue to dominate Chapter 1 instruction. In the 1991-92 school year, 84 percent of elementary school teachers reported that basic skills drill and practice was a major focus of Chapter 1 reading instruction--nearly three times the 29 percent who said higher-order thinking skills was a major focus. The discrepancy was even greater in mathematics, where the focus tended to be on mechanics and memorization found in traditional approaches to education (III.8).

Coordination of Chapter 1 Services with the Regular Program. Coordination between Chapter 1 and regular school teachers at both the elementary and middle/secondary grade levels most often takes place through informal discussions. Ninety percent of Chapter 1 teachers and 75 percent of elementary teachers reported having at least one discussion weekly. The frequency of informal meetings at the middle/secondary levels, however, is a bit lower as 73 percent of Chapter 1 teachers and 45 percent of regular teachers reported having weekly discussions. Elementary school teachers were more likely than their middle/secondary school counterparts to rate the quality of coordination between Chapter 1 and regular instruction as good or excellent. However, a majority of teachers from all grades reported that Chapter 1 staff participated in decisions on student progress in the regular school program (III.8).

Chapter 1 Instructional Staff. In 1991-92, Chapter 1 supported approximately 77,000 full-time-equivalent (FTE) teachers and 70,000 FTE aides (III.6). Between 1985-86 and 1991-1992, the proportion of Chapter 1 teachers with a master's degree and above increased from 51 percent to 62 percent (III.8). In addition, a survey of principals found that Chapter 1 teachers compare favorably with their regular classroom counterparts. Approximately 37 percent of Chapter 1 school principals rated the quality of Chapter 1 teachers as higher than that of the average classroom teacher.

Aides plan a significant role in providing Chapter 1 instruction--particularly in the highest-poverty Chapter 1 schools. During 1990-91, 63 percent of aides provided instruction when supervised by a Chapter 1 teacher, and 20 percent provided instruction on their own. Yet, most aides have only a high school diploma. Only 17 percent have a B.A. or B.S., or more advanced formal education (III.8).

Schoolwide Projects

Schools are increasingly taking advantage of the benefits available through schoolwide projects, that is, the option of serving all students in high-poverty schools with Chapter 1 funds. Indeed, they have become much more common since the enactment and early implementation of the Hawkins-Stafford Amendments. In 1988-89, there were approximately 200 schoolwide projects. That number tripled both in 1989-90, and two years later in 1991-92. Of the approximately 9,000 schools eligible for schoolwide project status, on the basis of poverty, more than 2,300 were operated in 1991-92 (III.6, III.9).

Of note is that while the numbers of schoolwide projects are increasing, 45 percent of principals in eligible elementary schools reported that during 1991-92 they were unaware of the schoolwide project option. Among those who knew about schoolwide projects, 57 percent said they were still considering the option (III.8).

Scope of Activities. For the most part, schoolwide projects are not undertaking fundamental instructional reforms. Instead, they have been pursuing more incremental changes such as lowering class size. Indeed, those that choose to assign Chapter 1 teachers to regular classrooms reduced their average class size from 27 to 19 students (III.8).

Family Involvement in Chapter 1

Districts and schools have expanded their parental involvement activities under Chapter 1, since the enactment of Hawkins-Stafford.

- In addition to holding parent-teacher conferences, nearly three-quarters of districts disseminated home-based education activities during the 1990-91 school year, compared with 46 percent in 1987-88 (III.10).

- High-poverty schools are more likely to have activities available for Chapter 1 parents. Indeed 89 percent of schools with at least 75 percent poverty offer opportunities for Chapter 1 parents to serve as tutors, 62 percent of high poverty districts employ liaison personnel to work with parents, 53 percent offer special activities for parents who lack literacy skills, and 31 percent offer learning opportunities for parents whose native language is not English (III.8).

  Activities commonly available at both high- and low-poverty schools include parent-teacher conferences (90 percent), parent advisory councils (68 percent), home-based education activities (55 percent), and parent resource centers (29 percent) (III.8).

Chapter 1 Services to Private School Students

In 1990-91, Chapter 1 served about 174,000 private school students, an increase of almost 50,000 since the 1985 Supreme Court ruling, *Aguilar v. Felton*. In that year, approximately 30 percent of participating private school students received services in mobile vans or portable classrooms; 30 percent were served through computer-assisted instruction in their schools, 20 percent were served at other neutral sites, and 12 percent were served in public schools (III.1, III.11).

Concerns among members of the private religious school community exist regarding the increase in the use of computer-assisted instruction in private, religiously-affiliated schools. The concern centers on the restrictions applied after the Supreme Court's *Felton* decision, that prohibit teachers from teaching private school students in Chapter 1-funded computer laboratories located in religiously affiliated schools.

Program Administration

State and Local Implementation

The implementation of provisions authorized under the 1988 Hawkins-Stafford Amendments required new responsibilities at the State and local levels. The impact of the new requirements varied and often reflected State and local leadership decisions regarding a perceived role for Chapter 1 in the context of broader State and local reforms. Other factors have included limited resources expended for technical assistance, knowledge development, and dissemination for promoting improved practices under Chapter 1. Finally, while the law focused on program quality and accountability, Federal and State monitoring efforts that continued to concentrate on ensuring that funding recipients focused on compliance, rather than educational guidance, limited innovative reforms (III.10, III.12).

Outcomes

The Effects of Chapter 1 on Student Achievement

Pre- and post-tests administered to the same groups of students (through the Prospects study) show little progress among Chapter 1 students. Comparisons of similar cohorts by grade and poverty show that program participation does not reduce the test score gap for disadvantaged students. Indeed, Chapter 1 student scores (in all poverty cohorts) declined between the third and fourth grades (III.2).

The Prospects study found, for example, that--regardless of their grade level--large differences exist in reading and math scores between students in low- and high-poverty schools, especially in higher-order skills. Typically, "students in low-poverty schools score from 50 to 75 percent higher in reading and math than students in high-poverty schools." "(And) the average reading and mathematics achievement of *all* students in high-poverty schools is almost the same as that of *Chapter 1* students in low-poverty schools" (III.1, III.2).

These data, however, differ from the gains reported annually to the Department, by States, through the mandated State reports. Nationally, for the 1991-92 school year, States reported a gain of 7 percentile points for third graders in both advanced skills reading and math (III.6). These annual scores, based on norm-referenced achievement tests, are also used for student eligibility and identification, instructional feedback and diagnosis, and local, State and national accountability (III.1, III.13). The National Assessment of Chapter 1 found, however, that while norm-referenced achievement tests have a number of strengths, they have "drawbacks as tools for diagnosis and decisionmaking." Moreover, the national aggregation of scores--without a clear understanding of the level of services that students receive or their individual characteristics--does not provide a useful measure of the program's effectiveness, and concerns exist regarding the appropriate use and interpretation of the data (III.14).

Management Improvement Strategies

Quality Program Monitoring. Based in part on the findings of the National Assessment of Chapter 1, the Department's Office of Compensatory Education Programs (CEP) is emphasizing monitoring the implementation of Chapter 1--at the State and local levels--for program quality as well as compliance. Training of CEP staff includes the formation of teams that are tasked with preparing background information on relevant reforms, and quality review efforts at the State and local levels.

Chapter 1 Idea Books. A series of practitioner-oriented idea books is planned to highlight special features of Chapter 1, including schoolwide projects, parent involvement, and opportunities for extending learning time with Chapter 1 resources.

III. SOURCES OF INFORMATION

1. Reinventing Chapter 1: The Current Chapter 1 Program and New Directions. Final Report of the National Assessment of Chapter 1 Program (Washington, DC: U.S. Department of Education, 1993).

2. Prospects: The Congressionally Mandated Study of Educational Growth and Opportunity. The Interim Report (Cambridge, MA: Abt Associates, 1993).

3. Schools and Staffing in the United States: Selected Data for Public and Private Schools, 1990-91 (Washington, DC: U.S. Department of Education, 1993).

4. Anderson, J.I. "The Distribution of Chapter 1 Services: Which School Districts and Schools Serve Students in Chapter 1?" (Washington, DC: U.S. Department of Education, 1992).

5. "Distribution of Children and Chapter 1 Funds," Unpublished Data (Washington, DC: Pelavin Associates, 1993).

6. "A Summary of State Chapter 1 Participation and Achievement Information for 1991-92," Unpublished Data (Rockville, MD: Westat Inc., 1994).

7. "Descriptive Study of Services to Limited English Proficient Students," Unpublished Data (Arlington, VA: Development Associates, 1993).

8. The Chapter 1 Implementation Study Final Report: Chapter 1 in Public Schools (Cambridge, MA: Abt Associates, 1993).

9. Chapter 1 Schoolwide Project Study: Final Report (Portsmouth, NH: RMC Corporation, 1993).

10. The Chapter 1 Implementation Study: Interim Report (Cambridge, MA: Abt Associates, 1992).

11. Chapter 1 Services to Religious-School Students: A Supplemental Volume to the National Assessment of Chapter 1 (Washington, DC: Policy Studies Associates, 1993).

12. Chapter 1 Under the 1988 Amendments: Implementation from the State Vantage Point (Washington, DC: Policy Studies Associates, 1992).

13. Reinforcing the Promise, Reforming the Paradigm: Report of the Advisory Committee on Testing in Chapter 1 (Washington, DC: U.S. Department of Education, 1993).

14. A Summary of State Chapter 1 Participation and Achievement Information for 1990-91 (Rockville, MD: Westat Corporation, 1993)

IV. PLANNED STUDIES

- **Prospects**, the longitudinal study of Chapter 1, is examining students' achievement in terms of basic and higher order skills and avoidance of behavioral problems. By design, this study will be able to report on not only the progress of Chapter 1 students, but other disadvantaged children as well. A related study of special strategies is examining the impact of significant intervention programs, such as Reading Recovery and Success for All. Several spin-off analyses are being planned, including analyses of the impact of preschool on first graders' performance and appraisals by teachers.

- The **Study of Chapter 1 and State Reform** supports case studies of nine districts in four states, which describe successful attempts to align Chapter 1 programs and testing with state standards, frameworks and assessments.

- The Planning and Evaluation Service (PES) will continue to support work on aligning Chapter 1 testing with national and state assessments tied to higher standards and curriculum frameworks, to be conducted by the **National Academy of Sciences' Board on Testing and Assessment**. The Board will produce papers and assist in developing an analytic agenda to integrate Chapter 1 testing and other efforts.

- PES plans to continue to participate in the **JOBS Child Impact Welfare Study** through an interagency agreement with DHHS, which supports an expansion of the child impacts study under the JOBS evaluation. The augmentation of this longitudinal study permits the examination of relationships among parental participation, parental achievement, and child outcomes for highly disadvantaged students.

New National Assessment Studies. PES plans to conduct a set of studies to prepare baseline information for the new National Assessment of Title I. These studies will focus on key elements of the reauthorized program: alignment with high State standards, professional development, flexibility, parent involvement, and targeting of funds. A set of formative studies will be launched to gather information at the State, local, and school levels on implementation of the new program requirements--particularly regarding the expansion of schoolwide projects, new school improvement requirements, targeting at the district and school levels, parent compacts, and program administration and technical assistance needs. Early studies to inform the National Assessment of Title I include the following:

- A study of state Goals 2000 and ESEA planning and implementation efforts, will analyze early state planning and implementation of Goals 2000 and ESEA--particularly Chapter 1/Title I. This evaluation will also provide a baseline upon which improvements in program administration, at the federal and state levels, are measured.

- A study of local ESEA planning and implementation will examine local district planning and implementation of ESEA, particularly Chapter 1/Title I, within the context of other local reform efforts.

- The longitudinal study of schools will allow for the analysis of the cumulative impact of Title I and other federal programs on state and local efforts to upgrade educational performance at the school and classroom levels.

- The Department will continue to support the development of idea books, which address Chapter 1/Title I programmatic information needs that are identified through evaluations such as those related to schoolwide programs, extended learning time, and services for secondary school students.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Mary Jean LeTendre, (202) 260-0826
Program Studies	:	Joanne Bogart, (202) 401-1958

MIGRANT EDUCATION PROGRAM (MEP) (CHAPTER 1, ESEA) FORMULA GRANTS TO STATE EDUCATION AGENCIES TO MEET THE SPECIAL EDUCATION NEEDS OF MIGRATORY CHILDREN, AND MIGRANT EDUCATION EVEN START PROGRAM (MEES)
(CFDA Nos. 84.011 AND 84.214A)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, Title I, Chapter 1, Part B and Part D, Subpart 1 (20 U.S.C. 2741-2749 and 20 U.S.C. 2781-2783) (expires September 30, 1999).

Purpose: To provide financial assistance to State education agencies (SEAs) to establish and improve programs to meet the special education needs of migratory children of migratory agricultural workers or fishermen, and to improve the interstate and intrastate coordination activities required of State and local migrant education programs funded under Chapter 1. To provide financial assistance to SEAs or SEA consortia to improve the educational opportunities of migrant preschool children and their parents through the integration of early childhood education and adult education into a unified program.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$ 9,737,847	1986	$253,149,000
1970	51,014,000	1987	264,524,000
1975	91,953,000	1988	269,029,000
1980	245,000,000	1989	272,145,000[1]
1981	266,400,000	1990	283,170,000[2]
1982	255,744,000	1991	296,089,000[3]
1983	255,744,000	1992	310,398,000[4]
1984	258,024,000	1993	305,451,000[5]
1985	264,524,000	1994	305,193,000[6]

1/ Includes an appropriation of $445,000 for the Migrant Education Even Start Program.
2/ Includes an appropriation of $726,000 for the Migrant Education Even Start Program.
3/ Includes an appropriation of $1,493,000 for the Migrant Education Even Start Program.
4/ Includes an appropriation of $2,100,000 for the Migrant Education Even Start Program.
5/ Includes an appropriation of $2,678,400 for the Migrant Education Even Start Program.
6/ Includes an appropriation of $2,741,200 for the Migrant Education Even Start Program.

Per-participant appropriations for the Migrant Education Program, whether measured in current or estimated constant dollars, have declined over the past decade. In 1981-82, the per-participant allocation in current dollars for all identified students was about $524; it was $450 in 1991-2, a decline of about $74. In constant dollars, the decline was $313 per participant (III.1).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Roughly one percent of the nation's young people ages 3 to 21--about 628,000--were identified as eligible for Chapter 1 MEP services in 1992 and were counted for funding purposes through the Migrant Student Record Transfer System (MSRTS). Under definitions in effect prior to enactment of P.L. 103-382 which reauthorized the program, estimates of the number of currently migrant children are affected by definitions and sampling, ranging from 176,000 in the descriptive study of the Chapter 1 Migrant Education Program (III.2) to 281,000 in the MSRTS count of children formally identified and recruited as eligible for the migrant education program and to 587,000 in the National Agricultural Workers Survey of migrant family members (III.1, III.2).

The number of migrant children is thought to be growing. The National Commission on Migrant Education cites one estimate that suggests that about 800,000 students will be eligible for Migrant Education Program services by the year 2000--an increase of about one third over 1990 (III.1). In 1991-92, about 80 percent of the migrant students were Hispanic. Another 11 percent were non-Hispanic white, and three percent belonged to other ethnic groups (III.4). Their reported countries of birth were: U.S.--67 percent; Mexico--29 percent; Other--4 percent. Twelve percent of the students were in preschool or kindergarten; 56 percent in grades 1-6; and 32 percent in grades 7-12 (III.2). Nearly two-thirds of eligible children live in five States. States with more than 10,000 participants were California, Texas, Florida, Arizona, Michigan, Oregon, and Washington which with the addition of Puerto Rico, accounted for 73 percent of total program participants (III.3).

The proportion of MEP students with low levels of oral English proficiency increased from slightly less than 40 percent in 1981 to about 54 percent in 1990. Their parents are likely to be not proficient in English: 84 percent of adult migrant farmworkers speak little or no English. Over 80 percent of the migrant students were eligible for free or reduced-price meals; more than one-third were over age for their grade; and 47 percent were eligible for the regular Chapter 1 program. Over three-fourths of migrant students exhibited two or more of eight indicators of need (i.e., one or more grades behind grade level, high absentee rates, eligible for regular Chapter 1, eligible for free or reduced price meals, exhibited severe behavioral problems, reading achievement level estimated to be below the 35th percentile, and mathematics achievement level estimated to be below the 35th percentile), and 25 percent had five or more indicators of need (III.2).

Studies have shown that children who change schools frequently are more likely to be below grade level in achievement, to be retained in grade, and to drop out (III.5). Under the definition in effect before the 1994 reauthorization of the migrant education program, currently migrant students made an average of 1.2 moves a year. An estimated 23 percent of regular term participants did not enroll in the school they were attending until more than 30 days after the beginning of school (III.1).

Poverty, poor health and nutrition, limited English proficiency, and school changes are among the factors that affect education outcomes. The Grade Retention and Placement Evaluation Project found that migrant students are older than grade peers and exhibit poor academic achievement. By second grade, 49 percent of MEP students were in a grade below their age peers. The National Commission on Migrant Education suggests that the Department of Education and the National Education Goals Panel identify alternatives to retention being used successfully by schools that combine promotion with supplemental remediation and other innovative approaches (III.1).

Table 1
Percentage of Regular and Summer Term MEP Participants with Selected Educational Needs, by Migrant Status

SELECTED EDUCATION NEEDS	**Regular term:** Currently Migrant	**Regular term** Formerly Migrant	**Summer term:** Currently Migrant	**Summer term:** Formerly Migrant
One or more grades behind age cohort	38%	36%	37%	44%
Eligible for Chapter 1	53%	44%	36%	17%
Reading achievement below 35th percentile	50%	42%	39%	20%
Mathematics achievement below 35th percentile	39%	33%	28%	15%
English language arts achievement below 35th percentile	47%	40%	36%	20%

Source: III.2. Data are for 1990.

BEST COPY AVAILABLE

Services

In FY 1993, the Department awarded $295,573,280 in State MEP grants to 49 States, the District of Columbia, and Puerto Rico; $7,200,000 in interstate/intrastate coordination contracts, (including MSRTS); and $2,678,400 in Migrant Even Start grants to 14 SEAs (III.7).

According to annual State performance reports, over 531,000 students in school year 1991-92 participated in MEP funded services. An estimated 467,000 identified migrant students were enrolled in school in regular term 1991-92, and an estimated 197,000 were in summer-term MEP projects (III.4). About 44 percent of regular school year and 41 percent of summer-term migrant students were currently migratory.

Table 2
Percentage of Chapter 1 Migrant Education Participants Receiving Services -- Regular Term 1984-85 to 1991-92

Service Area	1984 -85	1985 -86	1986 -87	1987 -88	1989 -90	1990 -91	1991 -92	1991 -92
Instructional								
ESL	17	14	19	17	16	20	15	31
Reading	48	41	44	43	40	39	36	31
Other language arts	23	12	16	15	14	17	18	17
Mathematics	33	29	32	31	29	28	28	24
Vocational	8	4	4	4	4	3	4	3
Other	11	10	12	12	16	19	20	13
Supporting:								
Guidance and Counseling:	NA	NA	NA	NA	NA	49	50	10
Social Work and Outreach:	NA	NA	NA	NA	NA	18	19	57
Attendance and Guidance:	32	44	71	65	64	NA	NA	NA
Health:	25	33	31	33	31	23	20	13
Dental:	18	18	16	16	16	10	9	4
Nutrition:	7	7	10	8	11	10	9	8
Transporation:	12	9	14	11	11	9	8	7
Other supporting:	13	10	12	16	39	43	43	31

Source: III.4

In 1990, just over 80 percent of migrant students enrolled in regular school year MEP projects received MEP instructional or support services; 60 percent of currently migratory and 50 percent of formerly migratory students received MEP instruction (III.2). Although legislative expansions of eligibility in the 1988 authorization included children ages 3 to 5 and youths ages 17 to 21, significantly increasing the number of eligible students, this had little effect on who received services in the first two years after implementation. While about half the regular school year programs report offering services for preschool students and for students between the ages of 18 and 21, only about five percent of MEP participants are of preschool age. Only 3 percent of regular term and 7 percent of summer term projects served out-of-school youth.

Reading, other language arts, and mathematics are the most common instructional services (see Table 2). For the 1990 regular school year, the major support activities included home-school liaison services, medical or dental screening and treatment, and guidance or counseling. Between 1984-5 and 1990-91, the proportion of MEP students receiving health care fell from 25 percent to 20 percent and the proportion receiving dental care fell from 18 percent to 9 percent (III.2).

Summer programs differ markedly from regular-school year programs. The predominant mode of instruction during the regular school year is to have additional teachers or aides assist in the regular classroom, or to pull migrant students out of the classroom for supplemental instruction. Summer-term projects are most likely to place students in special classes of predominantly migrant students. About half of the summer-term MEP projects reported MEP to be the only compensatory education program operating during the summer in the service area (III.2). In such cases, summer services are more costly because transportation, meals and other support must be provided. The MEP summer funding adjustment takes this into account but does not consider the cost or intensity of services (III.1).

The number of staff funded by MEP has decreased significantly. With the exception of 1988-89, the number of teachers and teacher aides has declined each year since 1984-85. States reported 55 percent fewer teachers and 37 percent fewer teacher aides in 1991-92 than in 1984-85. Overall, instructional staff comprised 59 percent of total staff in 1991-92, compared to 75 percent in 1984-85. The ratio of participants per teacher and teacher aide combined rose from 29.7 to 1 in 1984-85 to 90 to 1 in 1991-92 (III.8).

According to an audit by the Department of Education's Office of the Inspector General, the statutory definition of an eligible migratory child allows a significant number of children to be counted and served as migrants even though their education has not been interrupted (III.8). Both Congressional and Departmental proposals for reauthorizing the program statute called for eligibility criteria that would more sharply focus on the neediest children.

About three-fourths of regular school year projects and two-thirds of summer-term projects reported not providing MEP instruction to all eligible students in 1990. Reasons for not serving eligible students, in order of prevalence, were: lack of demonstrated need, services from other programs, or the program not provided in that school or at that age and grade level. More than 40 percent of the projects also reported "other" reasons such as inadequate funds or insufficient staff (III.2).

Although intended as a program of last resort, MEP is frequently used as a first resort. MEP was the only source of compensatory instructional services for 71 percent of regular-school-year migrant students About 80 percent of the currently migratory and 74 percent of the formerly migratory regular school year students reportedly did not receive regular Chapter 1 services. Twenty-four percent of the eligible MEP students attended schools where Chapter 1 is not offered; another 16 percent attended schools where Chapter 1 services were not offered at their grade level. Regular-school-year currently migrant students were almost twice as likely not to receive Chapter 1 services because they were enrolled in a school or grade that did not offer Chapter 1 (32 percent) than were regular school year formerly migrant students (18 percent) (III.2).

Table 3
1991-92 Migrant Education Program Staffing in FTEs by School Term

	REGULAR TERM FTE STAFF	Percent of Staff	Percent change from prior year	SUMMER TERM: FTE Staff	Percent of staff	Percent change from prior year
TOTAL:	8,769	100%	-3%	10,948	100%	2%
Administrative	377	4%	29%	540	5%	5%
Teachers	1,829	21%	1%	4,041	37%	8%
Teacher Aides	3,427	39%	-11%	3,043	28%	- 7%
Support	574	9%	30%	1,045	10%	15%
Recruiters	879	10%	3%	617	6%	26%
Clerical	531	6%	10%	549	5%	27%
MSRTS Data Entry Specialists	523	6%	10%	278	3%	-3%
Other	246	3%	-53%	614	6%	-34%

Source: III.7.

Program Administration

Recruitment

The isolation of the migrant child from the rest of the community can be extreme and requires a greater emphasis on outreach activities than do programs for other populations (III.10, III.19). Effective migrant projects actively recruit migrant students using intensive door-to-door canvassing of the migrant community; establishing relations with employers, health providers and social service agencies; and encouraging word-of-mouth advertising through the families of already recruited migrant children (III.10). The 1992 descriptive study report (III.2) found that migrant children were generally identified through the regular school district enrollment process.

If it appeared likely that the student was migrant, MEP recruiters followed up with a home visit. About half the local projects employed one recruiter, 25 percent employed from two to five, and six percent employed more than five. Most recruiters also served as teachers, aides, or in other MEP roles.

State MEP administrators must recruit actively if other States do so just to maintain their relative share of appropriated funding--but if total appropriations do not grow commensurate with the number of migrant students that have been recruited, services cannot be provided as intensively or extensively to the additional children recruited (III.1). The current system for allocating funds and the Federal capping of the MEP appropriation discourage the enrollment of some migrant children in the program. In cases where a given State's allocation shrinks from year to year, such "nonessentials" as active identification and recruitment are reduced to protect standard educational services. This is especially true in the States that are home bases for migrants. The children most in need of the services, the ones who are most isolated and who move most frequently, are the ones most likely to be ignored by such recruitment efforts (III.19). In FY 1992, grants to improve interstate coordination of identification and recruitment efforts were awarded to 14 States.

Migrant students with disabilities may not be identified and served appropriately. Problems include the lack of local expertise with Federal and State regulations on services to students with disabilities; lengthy or limited procedures for identification, assessment, and remediation of children's needs; and limited space on the MSRTS student record to record information on disabling conditions and treatments (III.11).

Project Management

Fifteen States employed State directors in 1990 whose sole responsibility was to direct the MEP. In the remaining States, directors spent on average 37 percent of their working time on MEP. While a number of State education agencies (SEAs) dealt directly with local projects, in other States--particularly the larger ones--MEP regional organizations acted as intermediaries. The frequency of assistance to local projects appeared to be greater in those States with regional offices. About 80 percent of the local MEP projects were administered by single school districts; roughly 15 percent were administered by a regional office of an SEA. Local projects reported general satisfaction with the level of technical assistance received from the State and other sources. Over half of the projects reported that their technical assistance needs were completely met (III.2).

MSRTS and Other Sources of Information

Case studies of effective projects indicated that it is critical that information on student needs reach those responsible for needs assessment and student selection as quickly as possible once a student is recruited and enrolled (III.9). To obtain information on the grade-level placement of a newly enrolled migrant student, staff were most likely to consult records from the prior school (66 percent for regular school year projects and 45 percent for summer-term projects). This was followed by information from parents or students (44 percent for regular school year and 49 percent for summer-term projects). Some 16 percent of regular school year projects used MSRTS; 35 percent of summer projects identified MSRTS as the source of information (III.2).

Local MEP projects use MSRTS principally as a means of ascertaining the migrant status of newly arrived students. Less than a third of regular school year projects use it for placement, identifying need for support services, or determining the number of credits for graduation (III.2). Sixteen percent of regular school year projects and 35 percent of summer projects reported using MSRTS for student placement. Project personnel cited health information on MSRTS as particularly useful. MSRTS was used by 38 percent of the regular year programs and 52 percent of summer programs for obtaining information on health and other support needs.

In districts with few migrant students, only two of the seven case sites made any use of MSRTS. In districts with medium to high migrant student concentrations, all but one reported using either MSRTS or a similar system. Two reported impediments to using MSRTS records locally were the delay in obtaining information and the burden of using the system. The average time for receipt of data by school staff was six days for regular-school-year projects and 7.4 days for summer-term projects. Lack of local terminals was a major contributing factor (III.2).

Because of poor attention to the completeness, accuracy, and timeliness of MSRTS data, its student files may contain out-of-date information, or no information, for many variables of interest. Moreover, because only about 1,800 operating agencies receive MEP subgrants, information on eligible migrant children who move to a location without a project may not be updated until the children reach another school district with an MEP project and a link to MSRTS (III.2, III.20).

The National Commission on Migrant Education recommended reducing the MSRTS record to essential data on school enrollment and health, conducting a technical assessment of MSRTS with an independent research agency, developing MSRTS data quality procedures, providing a direct role for migrant students and their families, increasing the direct access of local educators to MSRTS, and requiring State compliance with MSRTS requirements prior to Departmental approval of migrant program applications (III.12). In response to concerns over the cost and effectiveness of the MSRTS, plans to recompete and improve the system in FYs 1992 and 1993 were cancelled. Instead, Congress and the Department investigating other, less costly means were of obtaining minimally necessary data and services currently provided by the MSRTS.

Project Expenditures

States reported SEA-level MEP expenditures for the 1988-89 school year (including summer 1989) of $21 million. Major SEA-level expenditures were for administration (42 percent), instructional and support services (35 percent), MSRTS (9 percent), identification and recruitment (7 percent), and interstate/intrastate coordination (4 percent) (III.2).

Major local project expenditures were for instructional services (about 62 percent), support services (about 12 percent), administration (8 percent), MSRTS (6 percent), and identification and recruitment (5 percent). Local projects reported receipt of in-kind contributions, gifts, and other fiscal assistance valued at about $11 million (III.2).

Outcomes

The 1988 statute requires SEAs and LEAs to evaluate and report the findings of their evaluations at least every two years. The Department is required to report evaluation results to Congress at least that often (III.15). The 1989-90 reporting cycle was the first year that States were required to report achievement data in a standardized format. Scores were reported most frequently for basic reading skills (with scores reported for 26,323 currently migrant and 32,383 formerly migrant students in basic skills reading). The achievement data reported by the States represent summary figures for the State and are not national estimates of the overall achievement of migrant students. Differences in the number of migrant students tested, test administration, student mobility, a lack of match between the services provided and the skills tested, and the limited English proficiency of many migrant students, limit the ability to use these data to monitor migrant programs. Within these analytic constraints, standardized test scores suggest that large numbers of migrant students rank in the bottom third of our nation's students in math, reading and other areas of educational achievement. Twenty-one States provided supplemental outcome measures (such as attendance, grades, and grade promotion), but analysis of the data is limited by similar problems (III.3).

Management Improvement Strategies

Early in 1992, ED disseminated copies of a Policy Manual that provides detailed guidance on implementing the statutory and regulatory requirements of the program (III.16).

In FY 1993, the Department engaged in a technical assistance effort designed to help States improve the design and reporting of objectives and outcome data in their program plans. This work was intended to strengthen program accountability by helping States measure student progress and use the resulting information to improve program implementation.

In FY 1991, the Department began a study of the costs of migrant summer school projects to develop recommendations for a revised summer school funding formula that is better keyed to the needs of currently migratory children. Results of that study were to be available in 1994 and will be considered before publishing any formal proposal to adopt another adjusted formula.

The utility of reported data and evaluations can be improved. While evaluation requirement were always part of the legislation governing the program, development of a standard national form for State Performance Reports has occurred incrementally. By the 1990-91 school year, all States were able to provide actual or estimated participant counts in the required reporting format. Despite extensive verification and editing, anomalies remain in State-reported data. These are caused by factors including changes in State coding of services, shifts to MSRTS-based counts, and duplicative participant counts as students move from State to State. Information is not available on intensity of services or methods of service delivery. Because the State is the smallest unit of analysis in the reported data, it is not possible to examine MEP by project, district or region, or to analyze these data in conjunction with other data sets at the LEA level. While the statute requires reporting of standardized test scores, many of the State achievement data are based on very small samples, giving little confidence that the data provide an accurate estimate of the achievement. This leads to erratic fluctuations in average scores and pretest percentiles which are often well above the mean. Student mobility across LEAs and SEAs results in test scores that cannot be attributed to programs at a single district or State. Students tested in math and reading may not have received migrant education programs in those areas; the limited English proficiency of many migrant students requires appropriate assessment. These make currently reported state data of very limited use for accountability and program improvement (III.3).

III. SOURCES OF INFORMATION

1. National Commission on Migrant Education. Invisible children: A Portrait of Migrant Education in the United States, A Final Report of the National Commission on Migrant Education, (Washington, DC: September 23, 1992).

2. Descriptive Study of the Chapter 1 Migrant Education Program (Washington, DC: U.S. Department of Education, 1992).

3. A Summary of State Chapter 1 Migrant Education Program Participation and Achievement Information for 1990-91, (Washington, DC: Westat, Inc., 1993).

4. Chapter 1 Migrant State Performance Report Data, (Washington, DC: Westat, Inc., 1994).

5. U.S. General Accounting Office, Elementary School Children: Many Change Schools Frequently, Harming Their Education GAO/HEHS-94-95 (Washington, DC: U.S. Congress, February 1994).

6. Program files.

7. Chapter 1 Migrant State Performance Report Data 1991-1992 (Washington, DC: Westat, Inc., 1994)

8. Changes Needed in Allocating Migrant Education Program Funds, Audit Control No. 09-40004 (Washington, DC: U.S. Department of Education, 1987).

9. Handbook of Effective Migrant Education Projects, Vol. 1: Findings; Vol. 2: Case Studies (Arlington, VA: Development Associates, Inc., October 1989).

10. The Effects of Migration on Children: An Ethnographic Study (Harrisburg, PA: Pennsylvania Department of Education, 1989).

11. Case Studies of the Migrant Education Program (Washington, DC: Policy Studies Associates, Inc., July 1987).

12. Keeping Up With Our Nation's Migrant Students (Bethesda, MD: National Commission on Migrant Education, 1991).

13. Report on the Department of Education's Review of Chapter 1 Migrant Education Data (Washington, DC: U.S. Department of Education, 1990).

14. Migrant Attrition Project: Executive Summary (Oneonta, NY: State University of New York at Oneonta, 1987).

15. The Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297 (Washington, DC: U.S. Congress, 1988).

16. Migrant Education Program Policy Manual, (Washington, DC: U.S. Department of Education, 1992).

17. Quarterly Status Reports, Audit Control No. 09-40004 (Washington, DC: U.S. Department of Education, 1990).

18. Services to Migrant Children: A Supplemental Volume to the National Assessment of the Chapter 1 Program (Washington, DC: Westat, Inc., 1993).

19. An Ethnography of Migrant Farmworkers Educational Opportunities (Harrisburg, PA: Pennsylvania Department of Education, 1987).

20. R.T. Trotter, "An Ethnographic Study of Migrant Farmworker Educational Opportunities" (Paper presented at the annual meeting of the American Educational Research Association, New Orleans, LA, 1988).

IV. PLANNED STUDIES

In FY 1994, the Department analyzed and reported on State-reported participation and achievement data for the 1990-91 and 1991-92 school years. In addition, the Department will fund several studies on changes related to the reauthorization of the program statute.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Bayla White, (202) 260-1124
Program Studies	:	Jeffery Rodamar, (202) 401-1958

FORMULA GRANTS TO STATES FOR NEGLECTED OR DELINQUENT CHILDREN
(CFDA No. 84.013)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, Chapter 1, Part D, Subpart 3 as amended (20 U.S.C. 2801) (expires September 30, 1999).

Purpose: To provide financial assistance for compensatory education to State agencies directly responsible for providing free public education to children in institutions for neglected or delinquent (N or D) children, children attending community day programs for neglected or delinquent children and juveniles in adult correctional institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$2,262,000	1986	31,214,000
1970	16,006,000	1987	32,616,000
1975	26,821,000	1988	32,552,000
1980	32,392,000	1989	31,616,000
1981	33,975,000	1990	32,791,000
1982	32,616,000	1991	36,107,000
1983	32,616,000	1992	36,054,000
1984	32,616,000	1993	35,407,000
1985	32,616,000	1994	34,060,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Approximately 61,800 participants were served in the 1990-91 school year. Some 63 percent of those served were in institutions for delinquent children, 33 percent were in adult correctional facilities, and 4 percent were in institutions for neglected children.

To be eligible for Chapter 1 N or D services, youth must be under age 21, lack a high school diploma or its equivalent, have an average stay of at least 30 days in the institution and be enrolled for at least 10 hours a week in an organized program of instruction supported by non-federal funds.

Fifty-seven percent of the participants were 17 through 20 years old; 91 percent were males; and 47 percent of the participants were black, 34 percent white, 16 percent Hispanic, 2 percent

American Indian or Alaska Native, and 2 percent Asian or Pacific Islander (III.1).

The National Study of the Chapter 1 N or D Program (III.2) collected data on the N or D program in juvenile and adult correctional facilities. It found that:

- Approximately half of the eligible population in participating juvenile and adult correctional facilities receive Chapter 1 N or D services.
- Facilities most often use scores on standardized tests to determine which youth are in greatest need of services. However, there is little variation between Chapter 1 students and eligible but nonparticipating students in demographic characteristics or pre-institutional experiences.
- Close to half (42 percent) of Chapter 1 N or D participants were high school dropouts prior to receiving N or D services in State facilities. On average, the highest grade participants have completed is three years below that normally completed by other youth of their age group.
- Chapter 1 participants in juvenile facilities are more likely to be younger, to have been in school at the time of commitment, and to intend to return to school after release than participants in adult facilities.
- The average age of Chapter 1 participants in correctional facilities is 17.5. The average age of participants in juvenile facilities is 17, whereas for those in adult correctional facilities, the average age is 20.

Services

Chapter 1 programs for N or D children generally provide supplementary reading, language arts, and mathematics instruction. In the 1990-91 school year, supplementary instruction in reading was provided to 63 percent of the participants, supplementary instruction in math was provided to 64 percent. A pullout model of small classes is used most frequently.

Findings from the Study of the Chapter 1 N or D program include the following:

- Chapter 1 N or D participants spend an average of five hours per week in Chapter 1 reading classes and 5 hours per week in Chapter 1 mathematics classes in juvenile facilities. In adult facilities, they spend the same amount of time in reading classes, but slightly less time (4 hours) per week in Chapter 1 mathematics classes (III.2).
- Teacher-developed materials, workbooks, practice sheets, and textbooks are used in most Chapter 1 N or D classes. The curricular sequencing and materials are matched to each student's skill deficiencies; however, the instructional methods used are the same for all students (III.3).

Program Administration

The Study of the Chapter 1 N or D program (III.3) found that:

- Administration of the Chapter 1 N or D program is complicated by the number and diversity of staff and the relatively low time commitments these staff have made to administering the program. The SEA, the State agency (SA), and one or more staff at participating facilities are all involved in program administration, yet on average spend less than half of their time on N or D responsibilities.

- The SEAs review and approve SA applications, provide occasional technical assistance, and monitor the program.

- The SAs play the key role in administering the program. They develop programs, allocate funds to participating facilities, conduct on-site monitoring of programs, provide technical assistance, and oversee program operations. Facility-level administrators implement policies and procedures established by the SA.

- Juvenile facilities are more likely to participate in the Chapter 1 N or D program and to have more participants per facility than adult correctional facilities.

- Chapter 1 N or D funds account for 10 percent of total education funding at participating facilities. However, the Chapter 1 program assumes a more substantial role in the overall education program at juvenile facilities where it represents 14 percent of all education funding, than in adult facilities where it represents only 5 percent of total education funding.

- Chapter 1 is an important source of funding for computer purchases, staff training and development, and instructional aides. The Chapter 1 N or D funds provide 43 percent of the facilities' expenditures for computer-related purchases, 21 percent of expenditures for staff training and development, and 47 percent of expenditures for instructional aides.

- Program administrators at the State and facility levels report several administrative problems associated with the Chapter 1 N or D program. They include:

  - lack of fit between Chapter 1 N or D and the primary areas of responsibility of staff, at both the State and facility levels;

  - a poor fit between Federal regulations and the context of corrections education. For example, the age limit of 21 constrains services in adult facilities, where many students older than 21 would benefit from the program but stop receiving Chapter 1 N or D services when they turn 21. Also, evaluation requirements are not seen as appropriate, given the high turnover of students;

- -- burden imposed by recordkeeping and paperwork requirements; and
- -- inadequate funding.

Outcomes

The Chapter 1 N or D Study (III.4) examined the post-release experiences of Chapter 1 N or D participants through two follow-up interviews conducted 5 months and 10 months after participants were first interviewed during the site visits. Findings from the 50 percent of participants the study was able to recontact include the following:

- o One-half of Chapter 1 N or D participants continue their education when they leave the correctional facility by enrolling in school. However, many of those who enroll subsequently drop out. Younger program participants and those in juvenile facilities are more likely to enroll in school and stay enrolled than older youth and those in adult facilities.
- o The information provided to youth while in the facility on how to continue their education or training after release appears to have little influence on whether or not they do so.
- o Following release, most participants return to their families in the community they came from prior to institutionalization.
- o Most participants found jobs after being released. At the first followup, among the released youth studied, 67 percent were employed, while at the second followup, 76 percent were employed. The employment rate was virtually the same for youth from juvenile facilities and adult correctional facilities. Study data suggest, however, that the youth who find work have problems holding a job. For example, two-thirds of the youth studied who had been in the community at least 5 months had held more than one job since their release. For those who find work, the work is low-paying. The youth work an average of 35 hours a week and the average hourly wage was $4.75.
- o Slightly less than 10 percent of participants had been reinstitutionalized by their second post-release interview.

Management Improvement Strategies

The Study of the Chapter 1 N or D program (III.3) identified the following characteristics of effective practices and improvement strategies in Chapter 1 N or D programs:

- o Facility administrators view education as a primary institutional goal. Education administration is structured separately from corrections administration.
- o State education administrators support the N or D program and facilitate communication with SA administrators. State agency administrators, in turn, facilitate communication with educational administrators at the facility level.

- Both SEA and SA staffs contribute to effectiveness by conducting regular audits, establishing and maintaining high State standards, supporting staff efforts, and assisting in preparing the Chapter 1 application.

- Chapter 1 funds are used as seed money for designing and implementing innovative programs.

- Effective programs coordinate instruction between the Chapter 1 and regular programs. Techniques used include:

  - diagnostic assessment processes involving Chapter 1 and regular program staff and joint review of test scores;

  - joint planning between Chapter 1 staff and regular education program staff and coordination of content and skills instruction;

  - additional in-class instruction for Chapter 1 students by regular education teachers, and joint development of plans for each student's learning objectives.

- Team teaching and cooperative learning strategies are used to integrate objectives for the regular and Chapter 1 students and to diminish the visible distinction of lower-achieving students.

- Motivational approaches such as awards, certificates, contests, use of high-interest materials, and promotion of students to the position of "teacher's helper" are used in effective programs.

- Effective programs continuously monitor student progress through frequent teacher-student interaction.

III. SOURCES OF INFORMATION

1. A Summary of State Chapter 1 Participation and Achievement Information-1990-91: Preliminary Tabulations (Washington, DC: Westat, Inc., 1993).

2. Unlocking Learning: Chapter 1 in Correctional Facilities. Descriptive Study Findings: National Study of the Chapter 1 Neglected or Delinquent Program (Rockville, MD: Westat, Inc., 1991).

3. Unlocking Learning: Chapter 1 in Correctional Facilities. Effective Practices Study Findings: National Study of the Chapter 1 Neglected or Delinquent Program (Rockville, MD: Westat, Inc., 1991).

4. Unlocking Learning: Chapter 1 in Correctional Facilities. Longitudinal Study Findings: National Study of the Chapter 1 Neglected or Delinquent Program (Rockville, MD: Westat, Inc., 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Mary Jean LeTendre, (202) 401-1682

Program Studies : Daphne Hardcastle, (202) 401-1958

EVEN START PROGRAM
(CFDA No. 84.213)

I. PROGRAM PROFILE

Legislation: Title I, Chapter 1, Part B of the Elementary and Secondary Education Act as amended (20 U.S.C. 2741-2749) (expires September 30, 1999).

Purpose: The Even Start program supports family-centered educational programs that involve parents and children in a cooperative effort to help parents become full partners in the education of their children and to assist children in reaching their full potential as learners.

To be eligible for Even Start, a family must have an parent who is eligible to participate in an adult education program under the Adult Education Act and one or more of their children less than 8 years of age. Even Start projects must provide participating families with an integrated program of early childhood education, adult basic education, and parenting education. The program's design is based on the notion that these components build on each other and that families need to receive all three services, not just one or two, in order to effect lasting change and improve children's school success.

The Department awards formula grants to State education agencies that, in turn, make competitive discretionary grants to local education agencies and community-based organizations for demonstration programs. In addition to the State grant programs, funds are set aside for special discretionary grants to State education agencies for migrant programs and to Indian tribes and organizations.

Congress expects the program to yield information of use to policymakers and to States and local agencies planning family literacy programs. The Even Start legislation requires an annual independent evaluation of the program and encourages projects to apply to the National Diffusion Network for consideration as dissemination sites.

Funding History:

Fiscal Year	Appropriation
1989	$14,820,000
1990	24,201,000
1991	49,770,000
1992	70,000,000
1993	89,123,000
1994	91,373,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

During its first 4 years:

- o Even Start provided for the implementation of several hundred projects which delivered family literacy services to more than 20,000 families at a Federal cost of about $2,500 per family per year.

- o Even Start served its intended population. Of all Even Start adults served, 79 percent did not complete high school, and 66 percent of Even Start families had total annual income under $10,000. The average adult entered Even Start with the literacy skills of a high school student, while the average 3- or 4-year-old child who entered Even Start scored at the ninth percentile on a nationally normed vocabulary test.

- o The Even Start family participated in the program for an average of 7months and received an average of 13.5 hours of adult education, 6.5 hours of parenting education, and 26 hours of early childhood education each month.

Virtually all Even Start projects offer the three required core instructional services of adult education, parenting education, and early childhood education. They also offer some instructional services in a home-based setting, some services to parents and children together, and appropriate support services to enable families to participate fully in Even Start's core services.

Population Targeting

Even Start is aimed at families in which one or both of the parents need basic skills education and which have at least one child ages birth through seven. In addition, the child must reside in a Chapter 1-participating attendance area. In most cases, qualifying parents either have not graduated from high school and need adult basic skills education or General Education Development (GED) training, or have limited English proficiency and need English-as-a-Second-Language instruction.

Based on data reported for the first 4 years of the program, Even Start projects are serving the intended population. All participating Even Start households had at least one child between birth and age seven, 79 percent of the adults who participated in Even Start core services did not complete high school, and 66 percent of Even Start families had total annual income (earned income plus public assistance) under $10,000. The Even Start population can be further described as follows:

- 50 percent of Even Start families describe themselves as couples with children, 37 percent are single parent households, and 13 percent have extended families or other living arrangements.
- 46 percent of Even Start families report job wages as their primary source of financial support, while 49 percent report that government assistance is their primary source of support.
- Most adults in Even Start are between the ages of 22 and 29 (46 percent) or 30 and 39 (31 percent).
- 40 percent of Even Start adults are white, 26 percent are African American, 22 percent are Hispanic, 4 percent are Native American, and 8 percent are Asian or Pacific Islander.
- English is the primary language for 66 percent of Even Start adults; Spanish is the primary language for 26 percent.
- Seven percent of the children served by Even Start were identified as having a disability.
- The average age of Even Start children dropped from 4.3 years in 1989-90 to 3.7 years in 1992-93, reflecting a Federal emphasis on serving younger children.
- Even Start children scored low, at the ninth percentile nationally, on a vocabulary test given when they entered the program.
- Even Start adults attained high-school-level scores on a functional literacy reading test given when they entered the program.

LEP Adults. Even Start adults who have limited English proficiency (LEP) can be characterized as follows: 86 percent were educated outside of the U.S., 60 percent did not reach the ninth grade, 78 percent were not employed at the time they joined Even Start, 83 percent had an annual income of less than $15,000, and 18 percent were single parents.

Adults Who Enter with a Diploma or GED. Twenty-one percent of the adults who participated in Even Start entered already having attained a high school diploma or a GED. While this is less than the 33 percent of adults who enter regular adult education programs with a diploma, questions have been raised about the fairness of serving these potentially less-needy adults in Even Start. Data show that adults who enter Even Start with a diploma or GED have characteristics which still suggest the need for Even Start services: 40 percent were single parents, 67 percent were not employed, 78 percent had annual income under $15,000, and 54 percent relied on government assistance for their primary source of income. In addition, the average Comprehensive Adult Student Assessment System (CASAS) reading score for these adults is 233, quite close to the average of 230 for adults who reached grades 9-12 prior to joining Even Start. This indicates that, in spite of their credentials, adults who entered the program with a GED or diploma are not functioning at a higher level than their less-credentialed counterparts.

Number of Participating Families. The number of families participating in Even Start has increased over time. This is due both to the addition of new projects and to improved efficiency among existing projects. During the 1989-90 school year, when Even Start began, 76 projects served about 2,500 families, an average of 33 families per project. By the 1992-93 school year, the program had grown to 340 projects which served about 20,000 families, or 59 families per project.

Length of Participation. Although Even Start projects are funded for 4 years, relatively few families take part for that amount of time. Of the families that began Even Start in 1989-90, 53 percent participated only in that first year, 24 percent participated in both the first and second program years, 13 percent participated in the first 3 program years, and 10 percent participated in all 4 years.

Services

Early Childhood Education. Children in Even Start projects were provided a range of early childhood education services:

- 67 percent of the projects enrolled some of their children in Head Start, 50 percent enrolled some of their children in a Chapter 1 pre-K program, and 8 percent provided some other preschool option.

- For children old enough to enter the public schools, most Even Start projects participated in joint planning activities with the public schools. Hence 78 percent of the projects included kindergarten as an Even Start service, and 70 percent provided early childhood education services to children under age eight who were in primary grades, again through the vehicle of joint planning with the public schools.

Adult Education. Almost all (93 percent) of the projects reported that they provided services to prepare adults to attain a GED certificate, 85 percent provided services in adult education, 81 percent provided services in adult secondary education, and 61 percent provided instruction in English as a second language (ESL).

Parenting Education. Even Start projects provided a wide range of services to help parents understand and enrich their child's development. For example, projects helped families make use of services provided by other social service agencies, discussed parents' role in the education of their children, oriented parents and children to school routines, taught parents about child development, trained parents in child behavior management, worked to build parents' self-esteem, and instructed parents in life skills and in principles of health and nutrition. Each of these different types of parenting education was provided by 90 percent or more of the Even Start projects.

Support Services. Support services remove barriers that could restrict a family's ability to participate in Even Start core instructional and educational services. Several types of support services were provided by 80 percent or more of the projects including transportation, family advocacy assistance, nutrition services, counseling services, and child care.

Cooperative Arrangements. Even Start projects are required to establish cooperative arrangements with other agencies to avoid duplicating services. This strategy allows optimal use of limited resources so that projects can concentrate on filling service gaps. Collaboration and cooperative arrangements were, indeed, a key focus of Even Start projects. During the 1992-93 program year, Even Start projects were involved in more than 6,000 cooperative arrangements to provide core services, an average of 20 cooperative arrangements per project. Forty-two percent of the arrangements were for parenting education, 27 percent were for adult basic education, and 31 percent were for early childhood education. The most common cooperators were other departments and programs within the public schools; local, county, State or tribal agencies; and postsecondary institutions.

Program Administration

Even Start is a complex program which requires time to implement fully. Projects routinely required at least a year to establish a fully operational program, and several years to develop good participation and recruitment rates. As the projects became more experienced and efficient, costs of service per family went down.

The Federal cost per Even Start family declined over the life of the program, from $5,894 in 1989-90 to $3,669 in 1990-91, and again to $2,503 in 1991-92. This is due to increases in the number of families served each year, indicating that over time, projects have matured and become more efficient. Even Start projects also obtain substantial resources (e.g., matching funds, in-kind contributions, and the value of referred services), in addition to their Federal Even Start funds, in order to deliver appropriate services to participating families.

- o In 1991-92, the average of $2,503 in Federal funding per family was augmented by an average of $1,352 in other resources to arrive at total resources of $3,855 per Even Start family. Thus, Federal Even Start funds comprise 65 percent of the total resources used per family, and other funds comprise 35 percent.

- o Almost two-thirds (64 percent) of all resources were spent on the direct provision of services: 31 percent for early childhood education, 15 percent for adult education, 9 percent for parenting education, and 9 percent for support services.

- Funds also were spent for program administration and coordination (14 percent), evaluation (10 percent), case management and recruiting (4 percent), and for a variety of other functions (8 percent).

Even Start costs vary widely across projects. As might be expected, projects that serve large numbers of families do so at a lower cost per family. In particular, projects that serve 100 or more families do so at a Federal cost of $1,659 per family, while projects that serve 30 or fewer families spend an average of $6,312 per family. Also, projects that delegate responsibility for providing core services to cooperating agencies have a lower cost ($1,878 per family) than projects that retain primary responsibility for providing core services ($5,775 per family).

Outcomes

Key, statistically significant findings about the effectiveness of the Even Start model include (III.1):

- ***Adults and children in Even Start families participated much more frequently in adult education, parenting education, and early childhood education than they would have if they had not been in Even Start.***

  - Without Even Start, 30 to 40 percent of the Even Start population would take part in adult education. This is substantially less than the 91 percent participation rate achieved for Even Start families during the 1992-93 program year.
  - For parenting education, participation increases from 8 percent without Even Start to 95 percent for families in Even Start.
  - For early childhood education, participation rates are estimated to be about 60 percent in the absence of Even Start and 98 percent for families in Even Start.

- ***Even Start helped many adults attain a GED.*** Across all projects, 8 percent of adults who entered Even Start without a GED or diploma achieved one. In a randomized experimental study of five projects, 22 percent of Even Start adults attained a GED compared with 6 percent of adults in a control group.

- **In the experimental study, *Even Start children learned school readiness skills earlier than control group children, but control group children caught up once they entered preschool or kindergarten.***

- ***Greater levels of participation in educational services are associated with positive program outcomes.*** Adults and children with high levels of participation in Even

Start's core services gained more on literacy tests than adults and children with low levels of participation.

- ***In what is probably the study's most important finding, the extent to which parents took part in parenting education is positively related to gains in children's vocabulary.*** Children of adults with high exposure to parenting education classes had higher scores on a vocabulary test than children of adults with less exposure to parenting education.

In general, the effects of adult literacy education were not very strong. The program did not result in significant adult learning gains—adults in a control group gained enough on their own to weaken the already moderate effects of adult literacy instruction for the treatment group. Learning gains also tended to level off after about 50 hours of instruction. While the program did succeed in increasing the number of GEDs gained by participants, attaining a GED is not associated with greater income or employment in most studies. This lack of GED influence on employment or income held true for Even Start parents as well—at least in the short-run. It is possible that adult basic skills education needs to be offered in the context of training for employment to result in direct effects on employment. It is also possible that adult basic skills education does not show rapid effects.

Nor was the study able to measure the effects of parenting education on adults. The program overall was not able to show significant gains for adults on any important parenting education measures. This was due at least in part to the lack of good measurement instruments endemic to this field. Initial responses to the intake interview were quite high—probably reflecting parents' familiarity with the "right" responses to questions such as whether they read to their children. Also, parenting education is not a standardized program, so the likely variation among projects in the services offered may have acted to dilute effects as well.

To sum up, the Even Start model has positive short-term effects both on children and adults, although this occurred in projects that implemented the model intensively—ensuring that their families received many hours of early childhood education, parenting education, and adult education. The program overall did not show strong effects in its first 4 years as implemented. As States and local programs benefit from the knowledge gained during this evaluation, it is possible that there will be more local projects that can show similar effects to those which implemented intensive models. Future evaluations will also concentrate on determining whether adult literacy instruction should remain a key component of the Even Start model.

Management Improvement Strategies

Evaluation. The national evaluation study for Even Start provides information useful for national policy making and program improvement. National data were also used by two local projects—Oklahoma City, Oklahoma, and Webster Groves, Missouri—as part of the evidence in their application to the National Diffusion Network. The national outcome data provided a comparison against which the projects were able to show the exemplary nature of their programs, in addition to local outcome data. These two projects gained admission to the National Diffusion Network based on 4 years of program services, the first Even Start projects to do so.

The national evaluation program is also expanding to include case studies in specific areas. These studies use data from the national evaluation to identify projects for intensive review.

- One project currently underway is reviewing Even Start projects that have promising components supporting the transition of children from preschool to elementary school.

- In a collaborative project between the U.S. Department of Education's Office of Elementary and Secondary Education, Office of Vocational and Adult Education, and the Planning and Evaluation Service in the Office of the Under Secretary, a study is also underway to review Even Start projects that have data showing especially effective adult education components.

Technical assistance. In addition, the Department embarked on several important technical assistance activities that responded to needs identified by the national evaluation or during program office monitoring.

- The Department started development of a series of program quality guides that will provide syntheses of research and evaluation findings for use by local project directors.

- A project to develop and field test a model for building State alliances between State agencies to support the extensive collaborations typical at the local level is underway. This project involves collaboration between an evaluation contractor and the National Center for Family Literacy.

- The Office of Elementary and Secondary Education (OESE) has annually held regional technical assistance and training conferences to provide guidance to local projects, opportunities for projects to share insights and advice with each other, and training in management and regulatory requirements for new projects. The Department has also sponsored an annual conference with State Even Start coordinators to discuss concerns and provide training in national policy issues and requirements.

- OESE has also published a newsletter sent to all State coordinators and local projects to provide information and guidance.

III. SOURCES OF INFORMATION

1. National Evaluation of the Even Start Family Literacy Program, Final Report (Cambridge, MA: Abt Associates, Inc., June 1994)
2. Program files.

IV. PLANNED STUDIES

A second national evaluation of the Even Start Program started in March 1994. Its first interim report will be available in winter 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Patricia McKee (202) 260-0991

Program Studies : Barbara Vespucci (202) 401-3630

FEDERAL, STATE, AND LOCAL PARTNERSHIP FOR EDUCATIONAL IMPROVEMENT
(CFDA No. 84.151)

I. PROGRAM PROFILE

Legislation: Chapter 2 of Title I of the Elementary and Secondary Education Act (ESEA) of 1965, as amended (20 U.S.C. 2911 et seq.) (expires September 30, 1999).

Purpose: To help State education agencies (SEAs) and local education agencies (LEAs) improve elementary and secondary education, meet the special educational needs of at-risk students, and support effective schools programs. SEAs and LEAs have discretion over the design and implementation of Chapter 2 programs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$442,176,000	1989	$462,977,000
1983	450,655,000	1990	457,198,000
1984	450,655,000	1991	449,884,000
1985	500,000,000	1992	450,000,000
1986	478,403,000	1993	435,488,000
1987	500,000,000	1994	369,500,000
1988	478,700,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The statute contains no specified targeting provisions. However, SEAs are required to distribute funds to LEAs based on a State-determined formula that is adjusted to provide higher per pupil allocations to those districts with students whose education imposes a higher than average cost. SEAs and LEAs also have discretion to target Chapter 2 funds on groups such as students at risk of failure in school and of dropping out, students participating in gifted and talented and early childhood education programs, and educational personnel who could benefit from staff development.

Chapter 2 activities tend to serve all types of students, focusing neither on particular grade levels nor on particular students groups. The data from the national evaluation show that in larger school districts, Chapter 2 funds often are targeted for projects serving disadvantaged and at-risk students (III.1). In 1991-92, the average amount of Chapter 2 funds spent for projects serving disadvantaged students per district was $4,369; for the largest school districts, the amount was about $150,000 per district.

Services

Chapter 2 supports a wide array of activities--programs of professional development, programs using library or other instructional materials, and programs and services for students. Other than trends in expenditures, there is no defining characteristic or theme across Chapter 2 activities. All types of educational programs, activities, positions, and purchases have been funded by Chapter 2. The national evaluation found the following (III.1):

- The six targeted assistance areas (mandated by the 1988 Amendments) have not served their intended purpose of focusing Chapter 2 on educational improvement because of their broad, vague, and overlapping nature. In most districts, they did not function in any way as a guiding factor in deciding how to spend Chapter 2 funds.
- Approximately half of SEA Chapter 2 allocations are spent to deliver technical assistance services to districts and schools. Chapter 2-supported technical assistance at the local level generally translates into support for professional development activities (average amount was $3,510 in 1991-92) and innovative programs (average amount was $2,468 in 1991-92).
- Local school districts targeted 40 percent of their total Chapter 2 allocations to programs to acquire and use library materials, computer software or hardware, and other instructional or educational materials. The mean amount was $11,239. LEAs allocated 16 percent of their funds for programs to serve students who are at risk or whose education entails higher-than-average costs.
- In 1991-92, LEAs reported that the greatest expenditures to serve private school students were in the areas of instructional resource support (87 percent of districts) and computer hardware/software applications (45 percent).
- At the local level, teachers are the largest group of staff supported by Chapter 2 funds (almost 51 percent of all staff supported by local Chapter 2 funds).

Program Administration

The Chapter 2 study (III.1) also found the following:

- In 1991-92, $446 million in Chapter 2 funds were allocated to SEAs and local school districts. Local agencies received 81 perent of these funds; the rest were retained at the State level. In 1991-92 across districts of all sizes, the median amount of Chapter 2 funds at the local level was $8,410 and the mean amount was approximately $27,900.

- The total allocation for administration by 50 States in 1991-92 was $14,197,627. SEAs perform a variety of administrative tasks, including: processing local applications, disbursing LEA grants, coordinating SEA programs, monitoring and evaluating State and local projects, operating Chapter 2 State Advisory Committees, disseminating State and Federal guidelines, providing technical assistance on regulations and educational programs, conducting on-site reviews and visits, and organizing periodic meetings for local Chapter 2 personnel.

- At the local level, the goal of reduced administrative burden has been achieved, and only a small amount of Chapter 2 funding ($12,236,155, or 7 percent to 8 percent in 1991-92) was allocated to program administration.

- There is typically no relationship between Chapter 2 administration and decisionmaking at the State level, with decisionmaking authority vested in a few hands at high levels of State education bureaucracies. Chapter 2 State Advisory Committees are not influential in SEA decisionmaking. Their input is acknowledged, but their role is strictly advisory.

- SEAs tend to minimize accountability requirements. The accountability strategies used most often by SEAs for local Chapter 2 programs include review of LEA applications, review of LEA evaluations, and review of LEA documentation. Fewer than half of the SEAs indicated that they conduct yearly evaluation studies. Local accountability mechanisms are influenced largely by SEA accountability requirements that focus on assessing compliance with Federal and State regulations and on fiscal accountability.

- In each State, on average, 314 district staff members are supported by local Chapter 2 funds (III.2).

III. SOURCES OF INFORMATION

1. How Chapter 2 Operates at the Federal, State and Local Levels (Menlo Park, CA: SRI International, 1994).

2. Summary of Chapter 2 Annual Reports (Menlo Park, CA: SRI International, February 1994).

IV. PLANNED STUDIES

During FY 1990, the Department contracted with SRI International for a statutorily mandated national study of effective schools programs to describe such programs and the effects of Federal, State, and local policies and funding sources on such programs. The study has focused in particular on the use of Chapter 2 State funds to support and leverage effective schools strategies. The study has also attempted to assess the impact of such programs on students and schools. The final report was due in 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Daniel F. Bonner, (202) 260-2517
Program Studies	:	Barbara Coates, (202) 401-1958

GENERAL ASSISTANCE TO THE VIRGIN ISLANDS
(No CFDA number)

I. PROGRAM PROFILE

Legislation: Section 4501 of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3141) (expired September 30, 1999).

Purpose: To provide general assistance to improve public education in the Virgin Islands.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$3,000,000	1988	$4,787,000
1981	2,700,000	1989	4,730,000
1982	1,920,000	1990	4,391,000
1983	1,920,000	1991	4,366,000
1984	1,920,000	1992	4,500,000
1985	2,700,000	1993	2,455,000
1986	4,784,000	1994	1,227,000
1987	5,000,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In fall 1992, public elementary and secondary school enrollment in the Virgin Islands was approximately 22,729 (III.1). These students tend to have extremely high educational needs relative to the needs of students in the States. According to an index based on educational deficiencies that includes several student and family background characteristics, the Virgin Islands ranks first among all States and the District of Columbia in educational needs (III.2). Teachers of eighth-grade math in the Virgin Islands were twice as likely as teachers nationally to say they got some or none (as opposed to all) of the resources they needed; two-thirds (66 percent) of the teachers in the Virgin Islands indicated this response on the NAEP questionnaire (III.3). The National Assessment of Educational Progress (NAEP) 1992 mathematics assessment shows the Virgin Islands ranking last on eighth-grade math proficiency (III.4).

Services

Services include general maintenance and repair of school buildings; asbestos abatement; classroom construction; and the provision of textbooks, materials, and supplies (III.5).

III. SOURCES OF INFORMATION

1. Digest of Education Statistics (Washington, DC: National Center for Education Statistics, U.S. Department of Education, 1993).
2. Analysis of Factors Relating to Federal General Assistance to the Virgin Islands (Washington, DC: Pelavin Associates, Inc., 1988).
3. The State of Mathematics Achievement (Washington, DC: National Center for Education Statistics, U.S. Department of Education, 1991).
4. NAEP 1992 Mathematics Report Card for the Nation and the States (Washington, DC: national Center for Education Statistics, 1993).
5. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Daniel F. Bonner, (202) 260-1907
Program Studies	:	Stephanie Stullich, (202) 401-1958

CIVIL RIGHTS TECHNICAL ASSISTANCE AND TRAINING
(CFDA No. 84.004)

I. PROGRAM PROFILE

Legislation: The Civil Rights Act of 1964, Title IV, P. L. 88-352 (42 U.S.C. 2000c-2000c-2, 2000c-5) (no expiration date).

Purpose: To award grants to State education agencies (SEAs) and desegregation assistance centers (DACs) to enable them to provide technical assistance, training, and advisory services at the request of public school districts in the preparation, adoption, and implementation of plans for the desegregation of public schools and the development of effective methods to cope with educational problems associated with desegregation on the basis of race, sex, and national origin.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$8,028,000	1986	$22,963,350
1970	17,000,000	1987	23,456,000
1975	26,700,000	1988	23,456,000
1980	45,667,000	1989	23,443,000
1981	37,111,000	1990	21,451,000
1982	24,000,000	1991	21,329,000
1983	24,000,000	1992	22,500,000
1984	24,000,000	1993	21,606,000
1985	24,000,000	1994	21,606,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

School districts requesting assistance with educational problems associated with desegregation.

Services

SEAs and DACs provide technical assistance and training to school districts upon request, to help them with problems related to desegregation. Typical activities might include technical assistance in the identification and selection of appropriate educational programs to meet the needs of limited-English-proficient students; training designed to develop educators' skills in specific areas, such as the identification of race and sex bias in instructional materials; and disseminating information on successful educational practices and legal requirements related to nondiscrimination on the basis of race, sex, and national origin in educational programs.

The centers may vary in size and staff expertise, reflecting differences in requests for assistance from eligible school districts. One Center in the West reported more than 300 requests from school districts. Centers in the Northeast region received a total of over 4,121 requests for assistance. Awards are made based on the level of activity in the past, anticipated activity in the region, and funds available. It is estimated that approximately 40 percent of the project funds are used for technical assistance and approximately 60 percent are used for training.

Program Administration

SEAs apply for grants to provide services statewide in one or more of the three desegregation assistance areas (race, sex, and national origin). Pursuant to regulatory changes implemented in 1987, the number of DACs was reduced from 40 to 10--one in each of the 10 Department of Education regions. Each DAC is required to provide comprehensive assistance in all three desegregation assistance areas. Of the 10 regional DACs that received 3-year awards in 1993 competition, five are administered by institutions of higher education and five by nonprofit organizations.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Sylvia Wright, (202) 260-3778
Program Studies	:	Barbara Coates, (202) 401-1958

FOLLOW THROUGH--GRANTS TO LOCAL EDUCATION AGENCIES AND OTHER PUBLIC AND PRIVATE NONPROFIT AGENCIES, ORGANIZATIONS AND INSTITUTIONS TO PROVIDE COMPREHENSIVE SERVICES TO LOW-INCOME CHILDREN IN KINDERGARTEN AND THE PRIMARY GRADES
(CFDA No. 84.014)

I. PROGRAM PROFILE

Legislation: The Follow Through Act, Title VI, P.L. 97-35, as amended (42 U.S.C. 9861-77) (expires September 30, 1999).

Purpose: To sustain and augment, in kindergarten and the primary grades, the gains that children from low-income families make in Head Start and other preschool programs of similar quality by (1) providing comprehensive services that will help these children develop to their full potential; (2) achieving active participation of parents; (3) producing knowledge about innovative educational approaches specifically designed to assist these children in their continued growth and development; and (4) demonstrating and disseminating effective Follow Through practices.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1968	$15,000,000	1986	$7,176,000
1970	70,300,000	1987	7,176,000
1975	55,500,000	1988	7,133,000
1980	44,250,000	1989	7,262,000
1981	26,250,000	1990	7,171,000
1982	19,440,000	1991	7,265,000
1983	19,440,000	1992	8,632,200
1984	14,767,000	1993	8,478,000
1985	10,000,000	1994	8,478,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In FY 1992, the Department of Education funded 46 projects (12 sponsors and 34 LEAs). The program gave priority to LEA projects operating in Chapter 1 schools designated as schoolwide projects; as a result, 24 of the LEA grants were awarded to districts serving children in schoolwide projects. These projects were awarded for a 5 year period.

A local Follow Through project must serve primarily low-income children enrolled in kindergarten and primary grades who have participated in a full-year Head Start or similar preschool program, including other federally assisted preschool programs of a compensatory nature.

At least 60 percent of the children enrolled in each project must be from low-income families and at least 60 percent of the children must have had preschool education. Schoolwide project schools must enroll at least 75 percent of their children from low-income families. When Follow Through is operating in a Chapter 1 schoolwide project, no restriction is imposed regarding the percent of participants from low-income families or with previous preschool experience.

Services

Typically, projects are designed to:

- implement an innovative educational approach specifically designed to improve the school performance of low-income children in kindergarten and the primary grades;
- provide supplementary or specialized instruction in the regular classroom and education-related services to all students in the classroom;
- orient and train Follow Through staff, parents, and other appropriate personnel;
- provide for the active participation of Follow Through parents in the development, conduct, and overall direction of the local project;
- provide health, social, nutritional, and other support services to aid the continued development of Follow Through children; and
- demonstrate and disseminate information about effective Follow Through practices for the purpose of encouraging adoption of those practices by other public and private schools.

Program Administration

In FY 1991, the Follow Through program, under regulations published in the Federal Register on April 12, 1991, funded 40 projects and two research grants. The research grants were awarded to Temple University and the University of Kansas to develop new sponsor models. There also was a competition in FY 1992 during which six new grants were made. In 1993, all awards were non-competing continuations. The research grants were closed out in 1993.

III. SOURCES OF INFORMATION

1. Margaret C. Wang and Eugene A. Ramp. The National Follow Through Program: Design, Implementation, and Effects (Philadelphia, PA: November 1987).
2. Margaret C. Wang and Herbert J. Walberg. The National Follow Through Program: Lessons from Two Decades of Research Practice in School Improvement, (unpublished) October 1988, ED 336191.
3. Program files.

IV. STUDIES IN PROGRESS

A 2 year study is currently underway to examine the implementation and effectiveness of Follow Through projects in both Chapter 1 schoolwide and non-schoolwide project schools. The study is mandated by Congress. A final report is due in spring 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Robert Alexander, (202) 401-1692
Program Studies	:	Robert Glenn (202) 401-1958

IMPACT AID:
MAINTENANCE AND OPERATIONS
(CFDA No. 84.041)

I. PROGRAM PROFILE

Legislation: P.L. 81-874, as amended (20 U.S.C. 236-241-1 and 242-244) (expires September 30, 1999).

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1951	$28,700,000	1986	665,975,000
1965	332,000,000	1987	695,000,000 3/
1970	507,900,000	1988	685,498,000
1975	636,016,000	1989	708,396,000
1980	792,000,000 1/	1990	717,354,000
1981	706,750,000	1991	754,361,000
1982	437,000,000	1992	763,708,000
1983	460,200,000	1993	738,250,000
1984	580,300,000 2/	1994	786,304,000
1985	675,000,000		

1/ Includes $20 million supplemental appropriation for disaster assistance.
2/ Includes $15 million supplemental appropriation for disaster assistance.
3/ Includes $20 million supplemental appropriation for disaster assistance.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Purpose: Impact Aid is intended to compensate local school districts for burdens placed on their resources by Federal activity, either through Federal ownership of property in the district (which, because it is tax-exempt, may decrease funds available for education), or through the addition of "federally-connected children" to the number of students that it would ordinarily need to educate. Federally-connected children include "a" children, those who both live and have parents who work on Federal property, and "b" children, those who either live on Federal property or have parents who work on Federal property. Included in these categories are children living on or having parents who work on Indian lands and children who have a parent who is on active duty in the uniformed services.

Section 2 provides aid to districts with significant amounts of federally-owned property, generally based on the Department of Education's estimate of the local revenue that the local education agency (LEA) would have received from the eligible Federal property if that property had remained on the tax rolls.

Section 3 provides aid to districts with federally-connected children; the amount varies with the classification of the children and is highest for "a" children, who presumably create the greatest burden on local resources. Higher payments are made for children living on Indian lands and for children with disabilities. Payments are also increased for districts with higher proportions of federally-connected children, i.e., 15 percent or more "a" children in the district or 20 percent or more "b" children. A minimum of 3 percent or 400 children in average daily attendance in a district must be federally-connected for a district to be eligible to receive aid.

In addition, Section 6 schools that primarily serve children of military families who reside on Federal property, although authorized by P.L. 81-874, are currently operated and funded by the Department of Defense (DoD).

Section 7(a) authorizes assistance to LEAs for increased current operating expenses and/or replacement of lost revenues that result from damage caused by disasters in areas that are eligible for Federal public assistance as designated in presidential declarations. The repair and replacement of physical facilities are the responsibility of the Federal Emergency Management Agency.

Population Targeting

Impact Aid is paid directly to eligible school districts and becomes part of their general operating funds. The only restriction on its use is that the extra payments made on behalf of children with disabilities must be used for special educational services designed to meet the needs of those children. In addition, disaster assistance funds must be used for allowable and approved costs related to a presidentially-declared disaster.

One of the most pressing problems in the Impact Aid program is inequity in the distribution of Section 3 payments. First, payments for "b" children, who generally do not impose a real burden on their school district, divert scarce Federal resources away from districts that are more truly burdened by Federal activities. Most "b" children have parents who work on Federal property but live on non-Federal property that is on the local tax rolls and generates property tax revenues for the district. For example, Fairfax County, Virginia receives Section 3 funds for many "b" children whose parents work at the Pentagon in Arlington County but live and pay taxes in Fairfax County; these children place no greater burden on Fairfax County than any other child whose parents commute to a private-sector job in a neighboring county. Because appropriations have historically been well below total entitlements and payments must be pro-rated, payments for "b" children divert scarce funds from districts with "a" children, who represent a far greater burden on their districts.

Further, several statutory provisions have the effect of providing substantially larger payments to districts with only slightly more Section 3 students. For example, districts that meet the eligibility threshold are compensated for all of their federally-connected students, while districts that fall just below the threshold receive nothing. Similarly, districts that have high concentrations of federally-connected students ("super a" and "sub-super a" districts) are currently entitled to a higher payment rate for all of their federally-connected students.

A 1988 analysis (III.1) examined the distribution of Impact Aid funds among school districts that differ in size, wealth, and spending, as measured by student enrollment, property valuation per pupil, and current operating expenditures per pupil. The study found that, in general, a larger than expected proportion of Impact Aid goes to districts that are small, low in property wealth, or high in per-pupil expenditures. For example, the highest-expenditure districts, with 25 percent of total enrollment, received over 37 percent of program funding, whereas the lowest-expenditure districts, with 24 percent of enrollment, received only about 15 percent of program funding. Because this study did not examine the distribution of Impact Aid relative to other district revenues, no conclusion was reached on whether high-expenditure districts would have high revenues without Impact Aid. Further study would be needed to determine whether Impact Aid recipients tend to be high-expenditure districts due to other Federal, State, and local resources, or whether their relative affluence is largely due to Impact Aid revenues.

In FY 1992, ED commissioned a set of papers (III.2) on topics related to the implementation of Section 5(d)(2), which allows States with school finance systems that ED has certified as "equalized" to reduce State aid to school districts that receive Impact Aid (under the rationale that in States with equalized funding systems, the State is assuring that districts are not unfairly burdened due to Federal activities). Under the current 5(d)(2) standards, States may be certified as equalized under one of three tests: 1) a disparity test, which considers differences in per-pupil funding among school districts in the State (to qualify, the difference between the 95th and 5th percentiles must be no greater than 25 percent), 2) a wealth neutrality test, which is based on the principle that the same level of tax effort should yield the same level of funding per pupil, and 3) an exceptional circumstances test.

For the commissioned papers, authors were asked to analyze and critique the current 5(d)(2) standards and develop alternative standards. In addition, authors were asked to consider how the 5(d)(2) standards could incorporate incentives for encouraging States to increase equalization, standards emerging from recent school finance litigation, alternative measures of school resources and inputs, cost-of-education adjustments to educational expenditures, and ways to address the problem of educational overburden in large, urban school districts. Authors all agreed that improvements in the current 5(d)(2) equalization standards should be made. Each paper noted that specific equalization standards would contain implicit value judgements, and each presented distinctly different approaches to the problems. Authors expressed concern about the appropriateness of the current "wealth neutrality" standard because it measures taxpayer equity; authors felt the Impact Aid program should focus more on student equity. Authors also advocated incorporating a vertical equity component to recognize that some students have greater needs.

Services

For FY 1993, 2,451 school districts received Section 3 payments totaling $721,957,000 and 260 districts received Section 2 payments totaling $16,293,000, which became part of the general operating funds of the districts. In addition, 14 school districts received disaster assistance totaling $41,185,000 (III.3).

Program Administration

Calculating Section 2 entitlements currently requires a cumbersome computation of a "need-based entitlement," based on current revenue, expenditures, total assessed value of real property in the district, and estimated current assessed value of the Federal property, as well as a "maximum entitlement," based on estimated current assessed value of Federal property and the district's tax rate. The lesser of the two entitlements is then pro-rated to determine the actual payment. Because the fiscal data needed to compute the need-based entitlement do not become available until after the fiscal year for which the payments are made, Section 2 payments are delayed for many months. Furthermore, the need-based entitlement calculation usually has little effect on the final payment amount. Basing Section 2 payments solely on the maximum entitlement would substantially improve the efficiency of Section 2 administration and allow more timely payments.

Management Improvement Strategies

A 1989 study of the Impact Aid computer system recommended that the system be reorganized and updated to improve the efficiency of information processing and to increase access to data for program staff. The study described two alternative types of computer systems that would achieve the desired improvements (III.4). After reviewing these recommendations, the Department decided to redevelop the entire system. Improvements to date include automation of front-end data preparation, entry and error-correction, and redevelopment of system outputs; redevelopment of internal processing is in progress.

To improve the timeliness of Impact Aid awards, the Department proposed to use prior year student counts and related data to calculate current year payments, and Congress included language in the FY 1993 appropriations bill to permit this change. Use of prior year data enables the program to award funds 6 to 8 months earlier than when the law required payments to be based on current year data.

III. SOURCES OF INFORMATION

1. Joel Sherman, Analysis of the Wealth of School Districts that Receive Impact Aid (Washington, DC: Pelavin Associates, April 1988).

2. Joel Sherman, "Review of School Finance Equalization Under Section 5(d)(2) of P.L. 81-874, the Impact Aid Program"; Richard Salmon, "Equity Standards for State School Finance Programs: Philosophies and Standards Relevant to Section 5(d)(2) of the Federal Impact Aid Program"; K. Forbis Jordan, "Equalization and Impact Aid: National Leadership or Maintenance of the Status Quo"; Allan Odden, "Broadening Impact Aid's View of School Finance Equalization"; Robert Berne and Leanna Stiefel, "Equity Standards for State School Finance Programs: Philosophies and Standards Relevant to Section 5(d)(2) of the Federal Impact Aid Program" (Washington, DC: Pelavin Associates, June 1992).

3. Program files.

4. Dave Naden, Office of Impact Aid Computer System: Feasibility Study (Washington, DC: Decision Resources Corporation, 1989).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Charles Hansen, (202) 260-2002

Program Studies : Stephanie Stullich, (202) 401-1958

IMPACT AID: CONSTRUCTION (CFDA No. 84.040)

I. PROGRAM PROFILE

Legislation: P.L. 81-815, as amended (20 U.S.C. 631-647) (expires September 30, 1999).

Purpose: Impact Aid provides funds for the construction of urgently needed minimum school facilities in districts whose membership increased substantially during a 4 year period as a result of Federal activities (section 5) or in financially needy districts that have large areas of Indian lands or educate a substantial number of children living on Indian lands (sections 14(a) and (b)). Funds are also provided for districts that have a substantial number of children in need of minimum school facilities and that contain a substantial portion of Federal (tax-exempt) property (section 14(c)). In addition, funds are provided for emergency repair of schools for children residing on Federal property (usually military installations) where State and local tax revenues cannot be spent for their education or a suitable education cannot be provided for those children, and to upgrade buildings currently owned by the Department in order to transfer them to local school districts (section 10).

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1951	$74,500,000	1986	16,747,500
1965	58,400,000	1987	22,500,000
1970	14,766,000	1988	22,978,000
1975	20,000,000	1989	24,700,000
1980	33,000,000	1990	14,998,000 1/
1981	50,000,000	1991	26,349,000
1982	19,200,000	1992	27,990,000
1983	80,000,000	1993	11,904,000
1984	20,000,000	1994	11,904,000
1985	20,000,000		

1/ Congress did not appropriate funds for sections 5 and 14(c).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program has not been fully funded since 1967 and only 38 new applications, on average, are received each year. Even so, appropriations fall far short of the Federal share of estimated costs for approved applications, resulting in a substantial backlog of eligible unfunded projects (III.1). Current program priority lists include about 200 unfunded construction applications totalling approximately $200 million in originally estimated need.

A 1987 study by the Departments of Education and Defense surveyed the construction and repair needs of educational facilities on U.S. military bases (Section 10) and recommended policies to deal with these needs. The study found that 124 existing on-base school facilities had renovation and repair needs totalling an estimated $183 million, including schools owned or operated by the Department of Defense ($93 million), the Department of Education ($74 million), and local education agencies ($16 million) (III.2).

The study recommended that the cost of meeting verifiable school facility needs should be shared among local, State, and Federal agencies according to fiscal cost-benefit analyses. These fiscal analyses would compare revenues and expenditures generated by military installations in order to determine the fair share of construction costs to be borne by local, State, and Federal agencies. For ED-owned schools, Federal assistance would be contingent upon the LEAs accepting ownership of the facilities once the repairs or renovations are complete. For DoD-funded Section 6 schools, case-by-case fiscal analyses would be used to determine the feasibility of transferring ownership to LEAs.

In response to this study, the Department of Education has identified several school districts that are interested in accepting title to the ED-owned school facilities in their districts. Facilities at nine installations have already been transferred or otherwise disposed of, and negotiations are continuing for transfer of facilities at other installations.

Services

In FY 1993, two school districts received funds for construction of needed facilities, totaling $3,865,613 in grants (Sections 5 and 14). In addition, $2,423,446 was spent on eight projects for the transfer of facilities, asbestos abatement, and emergency repairs of school buildings owned by ED (Section 10) (III.3).

Program Administration

Large amounts of Impact Aid construction funds are frequently not awarded during the fiscal year for which funds were appropriated. For example, out of the $11.9 million appropriation in FY 1993, only $6.3 million had been awarded as of March 1994, six months after FY 1993 had ended. Because the funds are available until expended, there is no time limit for these awards; however, slow awards may further delay construction assistance to eligible school districts.

A 1990 General Accounting Office (GAO) study (III.1) concluded that project rankings may be outdated and invalid, as ED does not annually re-evaluate all rankings after projects were placed on waiting lists. Most project requests remain unfunded for at least 12 years, and enrollments may change and construction costs increase while projects wait for funding; nevertheless, funding is often based on financial data from the initial application. ED does review wait-listed applications periodically, including annual reviews of the 15 or 20 applicants at the top of the waiting list; however, for Section 5, current law does not permit the program to use current financial and enrollment data for ranking applicants.

GAO's recommendations included 1) that Congress should amend P.L. 81-815 to require that Section 5 funding be based on current information on construction costs, and 2) that school districts should be required to apply annually for school construction assistance so that project requests reflect current information on enrollments of federally connected children, school construction needs, and the estimated Federal share of construction costs.

In response to GAO's report, ED now reviews all applications at least once every two years, and has instituted a policy of asking all pending, unfunded construction applicants to confirm their continued need once every two years. This practice has caused some applications to be discontinued, although the number of unfunded applications remains at about 200 because some LEAs submitted applications for new projects. However, the Department cannot base school construction awards on current information unless Congress amends the existing law.

III. SOURCES OF INFORMATION

1. General Accounting Office, Impact Aid: Most School Construction Requests Are Unfunded and Outdated (Washington, DC: U.S. General Printing Office, 1990).

2. Section 2726 of P.L. 99-661 (1987 DoD Military Construction Authorization Act), report submitted to Congress in November 1987.

3. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Charles Hansen, (202) 260-2002

Program Studies : Stephanie Stullich, (202) 401-1958

ALLEN J. ELLENDER FELLOWSHIPS
(CFDA No. 84.148)

I. PROGRAM PROFILE

Legislation: Title IV, Part C of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3081-3112) (expires September 30, 1999).

Purpose: To make a grant to the Close Up Foundation of Washington, D.C., for financial assistance to economically disadvantaged secondary school students and their teachers and economically disadvantaged older Americans and recent immigrants, to increase their understanding of the Federal Government. Special consideration is given to the participation of students with special educational needs, including handicapped students, students from recent immigrant families, ethnic minority students, gifted and talented students, and students of migrant parents.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$500,000	1987	1,700,000
1975	500,000	1988	2,394,000
1980	1,000,000	1989	3,458,000
1981	1,000,000	1990	3,703,000
1982	960,000	1991	4,101,000
1983	3,000,000 1/	1992	4,300,000
1984	1,500,000	1993	4,223,000
1985	1,500,000	1994	4,223,000
1986	1,627,000		

1/ In 1983, Congress appropriated a double amount in order to place the program on a forward-funded basis. The appropriation for FY 1983 provided $1.5 million for the 1982-83 school year and $1.5 million for the 1983-84 school year.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program targets economically disadvantaged secondary students and their teachers, economically disadvantaged older Americans, and recent immigrants.

Services

In the 1992-93 school year, the Close Up Foundation awarded Ellender fellowships through the Washington Program for High School Students and Educators to approximately 2,413 students and 2,567 teachers and administrators to enable them to come to Washington, D.C., for a first-hand look at the operations of the three branches of the U.S. Government. Fellowships also were awarded through the Program for New Americans and the Program for Older Americans to enable the target populations to participate in Close Up's week-long civics education programs in Washington.

Although the three programs serve different populations, they are very similar in structure. The program week in Washington consists of question-and-answer seminars with outside speakers, study visits to historical and cultural sites, workshops with Close Up instructors, and meetings with Congressional representatives, Senators, or staffers.

Program Administration

An Evaluation of the Allen J. Ellender Fellowship Program, conducted in 1992 found that (III.1):

- In operating the Washington Program for High School Students and Educators, the Close Up Foundation spends twice as much of the Federal Ellender funds on teachers as on disadvantaged students, and more teachers than students receive fellowships.
- In the 1990-91 program year, 1,315 of the 2,584 schools that participated in the Washington Program for High School Students and Educators awarded one full teacher and one six-tenths student fellowships, while 463 schools awarded one full teacher fellowship and divided the six-tenths student fellowship among two or more disadvantaged students. However, 571 schools awarded only teacher fellowships. At these schools, the teacher coordinator accompanied full-paying students, but brought no disadvantaged students receiving Ellender fellowships. The Ellender fellowships are often awarded to the same teacher at the same school for many years.
- Other organizations offer civics education programs similar to the Close Up Foundation's Washington Program for High School students and Educators. All have similar though not identical prices, and all bring students to Washington for about one week.

The report suggests a number of options for better targeting of services on disadvantaged students:

- Require each secondary school teacher to bring at least one student fellowship recipient to Washington in order to qualify for fellowship funds in the Washington Program for High School Students and Educators and the Program for New Americans.

- Limit the proportion of Federal Ellender funds spent on teacher fellowships.
- Limit the number of times an individual teacher can receive a Federal Ellender fellowship.
- Allow only disadvantaged students, and not teachers to receive Ellender funds.

III. SOURCES OF INFORMATION

1. An Evaluation of the Allen J. Ellender Fellowship Program (Rockville, MD: Westat, Inc., 1992).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Carrolyn Andrews, (202) 260-2670
Program Studies	:	Barbara Coates, (202) 401-1958

INDIAN EDUCATION--FINANCIAL ASSISTANCE TO LOCAL EDUCATION AGENCIES AND INDIAN-CONTROLLED SCHOOLS FOR THE EDUCATION OF INDIAN CHILDREN--SUBPART 1

(CFDA Nos. 84.060 and 84.072)

I. PROGRAM PROFILE

Legislation: Indian Education Act of 1988 (Title V, Part C, Subpart 1 of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297), as amended (25 U.S.C. 2601-2606) (expires September 30, 1999).

Purpose: Subpart 1 of the Indian Education Act provides formula grant and competitive grant assistance to local education agencies (LEAs) and Indian-controlled schools for programs to address the special educational and culturally related academic needs of Indian children.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$11,500,000	1987	$47,200,000
1975	25,000,000	1988	49,170,000
1980	52,000,000	1989	52,748,000
1981	58,250,000	1990	54,276,000
1982	54,960,000	1991	56,259,000
1983	48,465,000	1992	56,965,000
1984	50,900,000	1993	59,304,000
1985	50,323,000	1994	60,304,000
1986	47,870,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

For purposes of the formula grant program, eligible applicants include LEAs, Bureau of Indian Affairs (BIA) contract schools and, since FY 1989, schools operated directly by the BIA. Eligible applicants under the competitive grant program include Indian-controlled schools operated by Indian tribes or Indian organizations and are generally located on or near reservations, and LEAs in existence not more than 3 years.

Services

Using the six National Education Goals existent at the time as a foundation, the Indian Nations At Risk Task Force developed 10 National Goals for American Indians and Alaska Natives, a strategic framework for improving schools, and specific recommendations for various partners whose participation is critical, i.e., parents, school officials, tribes, local governments, State governments, the Federal Government, and colleges and universities. The Task Force recommended that the Indian Education Act of 1972, as amended, provide long-term discretionary funding for model projects and outreach activities for Native parents and students designed to improve schools and academic performance (III.1).

Grants under this subpart may be used for:

> (1) planning and development of programs, including pilot projects designed to test the effectiveness of programs;
>
> (2) establishment and operation of programs, including minor remodeling of space used for such programs and acquisition of necessary equipment; and
>
> (3) training of counselors at eligible schools in counseling techniques relevant to the treatment of alcohol and substance abuse.

Fiscal year 1993 and 1994 formula grants were awarded to 1,182 education entities in 41 States each year for use in school years 1993-94 and 1994-95. These LEAs reported an eligible Indian student enrollment of approximately 395,000. Grant amounts ranged from $581 to $1,428,000 (III.2).

According to an audit of 1987-88 formula grant projects conducted by the Office of Indian Education, the majority of the projects audited were meeting all or most of the perceived needs for supplementary education-related services for participating students (III.3).

Nineteen new and continuation grants totaling about $3.0 million were awarded in both FY 1993 and FY 1994 to Indian-controlled schools to support special enrichment projects that supplement already established programs. These projects were expected to serve approximately 4,210 participants in school year 1993-94, and 4,420 participants in school year 1994-95 (III.2).

Program Administration

One shortcoming noted in a 1983 evaluation (III.4) was the failure of LEAs to maintain eligibility information as required to ensure that the Indian Education Act formula allocations are determined only by accurate counts of Indian children who qualify under the Act (III.2). However, according to the audit conducted by the Office of Indian Education, LEAs appeared to have made substantial improvements since 1983 (III.3).

Outcomes

On the 1992 National Assessment of Educational Progress (NAEP), 82 percent of eighth-grade American Indian students performed below the standard for proficiency in reading, compared to 66 percent of whites, 62 percent of Asians, 87 percent of Hispanics, and 92 percent of blacks. Among 12th graders, 76 percent of American Indian students performed below the standard for proficiency, compared to 57 percent of whites, 61 percent of Asians, 79 percent of Hispanics, and 84 percent of blacks (III.5).

Test scores of schools funded by the Bureau of Indian Affairs showed that their students were falling well behind other students nationwide in assessments of reading, language, and mathematics (III.6).

III. SOURCES OF INFORMATION

1. Indian Nations At Risk: An Educational Strategy for Action (Washington, DC: U.S. Department of Education, 1991).
2. Program files.
3. Audit of Indian Education Act Formula Grant Program-School Year 1987-88 (Washington, DC: Indian Education Program Office, U.S. Department of Education, 1990).
4. A National Impact Evaluation of the Indian Education Act Part A Program (Arlington, VA: Development Associates, 1983).
5. NAEP 1992 Reading Report Card for the Nation and the States: Data from the National and Trial State Assessments (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1993).
6. Report on BIA Education: Excellence in Indian Education Through the Effective Schools Process (Washington, DC: Office of Indian Education Programs, Bureau of Indian Affairs, U.S. Department of the Interior, 1988).

IV. PLANNED STUDIES

The Improving America's Schools Act of 1993, which reauthorized the Elementary and Secondary Education Act, requires that LEAs applying for formula grants submit comprehensive plans to address the needs, including language and cultural needs, of Indian students. The Department is planning to conduct an evaluation of these local plans, as well as an evaluation of Indian education components of selected Goals 2000 plans to improve educational opportunities for Indian children and adults.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Director, Office of Indian Education, (202) 260-3774

Program Studies : Susan Ross, (202) 401-1958

SPECIAL PROGRAMS FOR INDIAN STUDENTS--SUBPART 2
(CFDA No. 84.061)

I. PROGRAM PROFILE

Legislation: Indian Education Act of 1988 (Title V, Part C, Subpart 2 of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297), as amended (25 U.S.C. 2621-2624) (expires September 30, 1999).

Purposes: Subpart 2 of the Act authorizes a variety of programs to improve educational opportunities for Indian students at preschool, elementary, and secondary levels and provide postsecondary fellowships for Indian students.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$5,000,000	1987	$11,568,000
1975	12,000,000	1988	11,707,000
1980	15,600,000	1989	12,307,000
1981	14,500,000	1990	12,557,000
1982	14,880,000	1991	11,992,000
1983	12,600,000	1992	12,038,000
1984	12,000,000	1993	12,134,000
1985	11,760,000	1994	14,300,000
1986	11,301,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In FY 1993 and 1994, Subpart 2 awards went to Indian tribes, Indian organizations, colleges, and universities. Also, 123 new and continuing fellowships were awarded to Indian students for undergraduate and graduate education in selected professional fields in FY 1993; in FY 1994, 103 new and continuing fellowships were awarded. A study of the 483 Indian fellowship recipients from the period 1985-89 identified them as members of 142 tribes and bands, and found the Lumbee tribe to have the greatest number of recipients--13 percent (III.1).

An evaluation of the Educational Personnel Development (EPD) projects focused on those students whose projects had ended before 1991. Ninety-six percent were American Indian or Alaska Native. Half (53 percent) the participants grew up on Indian reservations, and another 27 percent reported that their primary residence up to age 18 was in non-reservation rural areas (III.2).

Services

Using the six National Education Goals existent at the time as a foundation, the Indian Nations At Risk Task Force developed 10 National Goals for American Indians and Native Alaskans, a strategic framework for improving schools, and specific recommendations for various partners whose participation is critical, i.e., parents, school officials, tribes, local governments, State governments, the Federal Government, and colleges and universities. The Task Force recommended that the Indian Education Act of 1972, as amended, provide long-term discretionary funding for model projects and outreach activities for Native parents and students designed to improve schools and academic performance (III.3).

Grants under this subpart may be used for:

- Planning, Pilot, and Demonstration Projects to design, test, and demonstrate the effectiveness of approaches to improve education for Indian students at preschool, elementary, and secondary school levels;
- Educational Services Projects to improve educational opportunities for Indian preschool, elementary, and secondary school students, including enrichment programs and projects designed to reduce the incidence of dropouts among Indian students;
- Educational Personnel Development Projects to train individuals for careers in education, serving Indian students;
- Indian Fellowship Program for Indian students in medicine, psychology, law, education, business administration, engineering, and natural resources;
- Indian Education Technical Assistance Centers to provide training and technical assistance and to disseminate information on program planning, development, management, and evaluation; and
- Indian Gifted and Talented Program for research and development activities related to the education of gifted and talented Indian students.

Subpart 2 awards included Planning, Pilot, and Demonstration Projects (12 awards to serve approximately 3,000 participants in FY 1993 and 8 awards to serve 1,821 participants in FY 1994); Educational Services Projects (20 awards to serve 4,200 participants in FY 1993 and 19 awards to serve 4,636 participants in FY 1994); and EPD (11 awards to serve 370 participants in FY 1993 and 14 awards to serve 500 participants in FY 1994). The grants supported a variety of activities, including preschool projects, curriculum development, dropout prevention, media/computer-assisted instruction, and alcohol and drug abuse prevention (III.4).

Subpart 2 also included the EPD and Indian Fellowship programs. EPD funding totaled $2,353,000 in FY 1993 and $3,024,000 in FY 1994; EPD grants ranged from $49,000 to $342,000. In addition, 123 new and continuation fellowships were awarded to Indian students in FY 1993 and 103 new and continuation fellowships were awarded in FY 1994. Indian Fellowship Program funding totaled $1,735,000 both years; fellowships awards ranged from $2,500 to $39,000 (III.4).

An evaluation of the Indian Education Technical Assistance Centers (IETACs) under the 1991-94 contracts assessed their effectiveness in providing assistance to LEAs, BIA schools, Indian-controlled schools, and others who had received or were eligible for Title V grants to serve the educational needs of Indian students. Service recipients rated the IETACs very favorably on accessibility, responsiveness, and the quality of their services. Most IETAC staff had completed undergraduate or graduate degrees in education or related fields, and most were American Indian. In addition to their knowledge and experience in education, IETAC staff believed that their American Indian identity and personal knowledge of American Indian cultures and languages was important in gaining acceptance and working successfully with many of their clients (III.5).

The study found that IETACs served their clients primarily through workshops and on-site visits, and through the use of telephone, FAX, and mail service. Although a majority of the survey respondents had access to televisions with video-cassette players, telephones with conference call capabilities, and computers with modems, there was little reported use of these technologies by IETACs in providing assistance, despite the difficulty of access in many remote, rural locations where Indian students are served (III.5).

The evaluation identified limitations in IETAC services, which seemed to be common to many of the Department's other types of technical asssistance centers under the ESEA legislation in effect at that time (III.5):

- IETAC contracts with the Department limited the scope of services to providing assistance only upon request. Requests focused overwhelmingly on help in completing grant applications, complying with federal program requirements, and handling other managerial and administrative responsibilities, instead of addressing the substance of educational programs for Indian students.

- IETACs' assistance generally was limited to a single workshop, on-site visit, or other contact with grantees, with little or no follow up, instead of more intensive, sustained assistance necessary to bring about improvements in education for Indian students.

- Although the study found that IETACs communicated or coordinated somewhat among themselves and with other providers of technical assistance, assistance from

> the IETACs often operated in isolation from other programs in the schools. For example, although many Indian students also were eligible for services under the Chapter 1 Program for Educationally Disadvantaged Children, the study found little coordination with Title V. In addition, Title V programs were designed to be supplementary and often were not connected to the regular school program.

The evaluation of the EPD program examined projects in operation between FY 1987 and FY 1991. Funding for the EPD program averaged $2.25 million per year. Project grants ranged from approximately $50,000 to $280,000 per year. Most EPD projects prepared undergraduate students for positions as teachers of students in elementary and secondary schools, although some EPD projects also trained students for positions as K-12 teacher aides, college teachers, educational administrators, and educational researchers (III.2).

Most EPD projects supplemented the teacher training program offered to non-EPD students with additional fieldwork, internships, emphasis on Indian education, and/or emphasis on Indian culture and language to prepare participants to work with American Indian students. All projects provided some financial support to EPD students through stipends, tuition, allowances for dependents, money for books, travel funds, and/or research funds. The size of stipends and amount of other financial support provided varied by project. Most projects also provided academic counseling to EPD students (III.2).

Outcomes

The Department required IETACs to report regularly and in detail on their activities, but did not require IETACs to track the effects of their services on changes in clients' Title V grant projects nor on the quality of the educational programs serving Indian students. However, the contractual restriction that IETACs provide assistance only in response to requests severely limited the opportunities for IETACs to target their services and provide intensive assistance focused on improving educational programs for Indian students (III.5). The Department is drawing on findings from the study as it designs the new comprehensive regional assistance centers authorized in Title XIII of the Improving America's Schools Act of 1994.

Of EPD participants whose projects ended before 1991, a large majority (72 percent) attained their degrees. Most of these participants earned bachelor's (45 percent) or master's degrees (39 percent); the rest earned associate's degrees (6 percent), teaching credentials (6 percent), or doctorates (4 percent). A large majority (80 percent) of those who completed their degrees reported that they had subsequently worked in educational jobs where at least half the students served were American Indian, in K-12 schools, colleges, tribes, or other educational organizations (III.2).

The EPD study reported that some students lost financial support and were unable to complete their studies when the 3-year funding cycle ended. The evaluation report suggested reconsideration of the 3-year funding cycle for EPD grants, noting that many EPD grants fund 4-year academic programs. The report also noted that 23 percent of those participants surveyed who left EPD projects without completing their degree said they had dropped out because of personal financial pressures. The report suggested reconsideration of Federal regulations that limit the amount of student stipends to $600 per month and dependent allowances to $90 per month per dependent, limits which have not changed for more than 15 years despite increases in the cost of living (III.2).

A 1991 study of the Indian Fellowship Program found that 74 percent of the undergraduates and 80 percent of the graduate students were enrolled in good standing or had completed their programs. In addition, among employed fellowship recipients, about 60 percent were or had been employed within the Indian community (III.1).

III. SOURCES OF INFORMATION

1. Study of the Indian Fellowship Program (Washington, DC: Pelavin Associates, Inc., 1991).
2. Evaluation of Educational Personnel Development Projects in Indian Education (Menlo Park, CA: SRI International, 1994).
3. Indian Nations At Risk: An Educational Strategy for Action (Washington, DC: U.S. Department of Education, 1991).
4. Program files.
5. Evaluation of the Indian Education Technical Assistance Centers (Washington, DC: Policy Studies Associates, Inc., forthcoming in 1995).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Director, Office of Indian Education, (202) 260-3774
Program Studies	:	Susan Ross, (202) 401-1958

SPECIAL PROGRAMS FOR INDIAN ADULTS--SUBPART 3
(CFDA No. 84.062)

I. PROGRAM PROFILE

Legislation: Indian Education Act of 1988 (Title V, Part C, Subpart 3 of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297), as amended (25 U.S.C. 2631) (expires September 30, 1999).

Purpose: Subpart 3 of the Indian Education Act provides assistance for projects designed to improve educational opportunities below the college level for Indian adults.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$ 500,000	1987	$3,000,000
1975	3,000,000	1988	3,000,000
1980	5,830,000	1989	4,000,000
1981	5,430,000	1990	4,078,000
1982	5,213,000	1991	4,226,000
1983	5,531,000	1992	4,349,000
1984	3,000,000	1993	4,561,000
1985	2,940,000	1994	4,861,000
1986	2,797,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In both FY 1993 and FY 1994, 27 adult education projects were funded to serve approximately 5,000 Indian adults (III.1).

Services

All projects were designed to help students prepare for the high school equivalency examination and/or provide adult basic education. Many projects also provided services in an additional area, such as basic literacy, career counseling, skills development, job placement, consumer education, or English as a second language (III.1).

Outcomes

Recent outcome data, such as the number of participants who have passed the General Education Development (GED) test or found jobs, are not available, nor has cost-effectiveness been evaluated in comparison with costs for other adult education programs. The most recent evaluation of Subpart 3 (formerly Part C) was completed in 1984.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Director, Office of Indian Education, (202) 260-3774
Program Studies	:	Susan Ross, (202) 401-1958

DRUG-FREE SCHOOLS AND COMMUNITIES
STATE AND LOCAL PROGRAMS
(CFDA No. 84.186)

I. PROGRAM PROFILE

Legislation: Part B (sections 5121-5127) of the Drug-Free Schools and Communities Act (DFSCA) of 1986, as amended (20 U.S.C. 3191-3197) (expires September 30, 1999).

Purpose: To provide Federal financial assistance to States for school- and community-based programs of drug and alcohol abuse education and prevention.

Funding History

Fiscal Year	Appropriation
1987	$161,046,000
1988	191,480,000
1989	287,730,000
1990	460,554,000 1/
1991	497,702,000
1992	507,663,000
1993	498,565,000
1994	369,500,000

1/ This amount includes $24,688,000 for Emergency Grants. (See Chapter 123.)

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Two sources of data provide an opportunity to detect changes in State-level commitment to, and LEA participation in, the DFSCA program over time. These are (1) DFSCA State Biennial Performance Reports (SBPRs)[1], which covered the period July 1989 through June

---

[1] All States and territories, except Alaska, submitted SEA reports for this period. The following States and territories did not submit Governor's reports: the District of Columbia, Michigan, Oregon, Tennessee, Guam, and the Republic of Palau. West Virginia did submit a Governor's report, but the report was received too late for inclusion in these analyses.

1991 (III.1) and (2) the DFSCA Implementation Study, which covered school years 1987-1988 and 1988-1989 (III.2).

- LEA participation in the program increased from 78 percent in school year 1988-1989 to 96 percent in school year 1990-1991. The primary reason that the remaining districts did not participate continues to be that the amount of the LEA allocation is too low relative to the effort required to complete an application for funds.

- The number of States that had conducted evaluations of the effectiveness or impact of their programs increased from 15 to 25. The number of States conducting prevalence surveys during the reporting period also increased, from 25 to 49. States reported that they used these data in several ways: to identify program needs, to establish baseline measures or provide trend data on students' use of substances, and to assess program effectiveness.

Population Targeting

Nearly 40 million school-age public- and private-school youth (kindergarten through grade 12) were served by DFSCA programs during this reporting period. High-risk youth are a primary focus of programs operated with Governors' funds; 50 percent or more of Governors' funds were used to provided services to children of substance abusers, economically disadvantaged youth, and dropouts or youth who were at risk of dropping out of school.

Services

Services provided include student training and instruction, staff training and development, student support services, purchase or development of instructional materials, training for parents and community members, community awareness and coordination, and needs assessment and evaluation. The most frequently reported program focuses included (1) improving students' knowledge, attitudes, and values about drugs; (2) developing students' decision-making skills and self-confidence; (3) developing students' social and interpersonal skills; (4) enhancing the knowledge, skills, and abilities of staff involved in drug prevention programs; and (5) referring and counseling students with problems.

Program Administration

Each State allocation is divided between the SEA and the Office of the Governor. The SEA must allot most of its funds to local and intermediate education agencies based on enrollment in both public and private, nonprofit schools. Approximately 10 percent of the States' SEA allocation is set aside for program administration, training, and technical assistance activities. Of funds allocated to the Governor's office, at least 42.5 percent must be used for programs designed to meet the needs of high-risk youth, 10 percent for drug abuse resistance education programs, and 5 percent for replication of successful prevention programs. SEA set-aside funds were primarily used for training and technical assistance, administrative functions, needs assessment and evaluation, instructional materials, supplemental grants to LEAs, increasing public awareness, and coordinating community resources.

Mangement Improvement Strategies

The program office revised the non-regulatory guidance for Part B programs to clarify requirements pertaining to allowable services and evaluation under the DFSCA.

III. SOURCES OF INFORMATION

1. DFSCA State Biennial Performance Reports (for the period July 1989 through June 1991). (Unpublished data).

2. A Study of the Drug-Free Schools and Communities Act: Report on State and Local Programs (Executive Summary). (Research Triangle Park, NC: Research Triangle Institute, 1991).

3. Legislation and program files.

IV. PLANNED STUDIES

In September 1990, the Department began a 60-month study of the relative effectiveness of school-based prevention program strategies. The study has three components: (1) monitoring changes in alcohol and other drug use knowledge, attitudes, and behaviors of a cohort of 5th and 6th graders from school year 1991-1992 through 1994-1995; (2) conducting in-depth case studies of 10 Governors' local prevention projects for high-risk youth in order to identify exemplary practices in community-based prevention programs; and (3) conducting a mail survey to SEAs to examine changes in State programs in response to the 1989 amendments to the DFSCA and to stand for the State Biennial Performance Reports for the period July 1991 through June 1993.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Michelle Padilla, (202) 260-2648

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES
REGIONAL CENTERS PROGRAM
(CFDA No. 84.188)

I. PROGRAM PROFILE

Legislation: Part D (Section 5135) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3215) (expires September 30, 1999).

Purpose: To provide training and technical assistance to State education agencies (SEAs), local education agencies (LEAs), and institutions of higher education (IHEs) to develop and strengthen drug and alcohol abuse education and prevention activities in elementary and secondary schools.

Funding History

Fiscal Year	Appropriation
1987	$8,752,000
1988	10,019,302
1989	15,637,500
1990	15,959,000
1991	15,916,000
1992	16,249,000
1993	16,119,000
1994	15,595,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The five regional centers provide training and technical assistance to administrators, teachers, and counselors in schools and institutions of higher education, as well as parents, community leaders, and SEA and other State-level personnel.

Services

The regional centers train school teams to assess alcohol- and drug-related problems confronting schools and communities and develop appropriate strategies to resolve these problems; help SEAs coordinate and strengthen prevention programs; and help LEAs and IHEs develop preservice and inservice training programs. The centers also disseminate information about promising programs.

Program Administration

The five centers are operated under cooperative agreements by the following grantees: Midwest--North Central Regional Educational Laboratory; Southeast--University of Louisville; Northeast--Super Teams, Ltd.; Southwest--University of Oklahoma; and West--Northwest Regional Educational Laboratory.

Management Improvement Strategies

The five centers were monitored on site by program staff in FY 1992. In FY 1993, each center began submitting a quarterly report summarizing center services provided. Basic administrative information on the Regional Centers Program was entered into a DFSCA Management Information System in FY 1994. The management information system will also capture basic descriptive information for DFSCA discretionary grantes from applications and progress reports on types of grantees, services provided, populations targeted, and evaluation activities.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

The Department began a study of training and technical assistance services provided by the regional centers in September 1992. The study was expected to be completed in FY 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Kimberly C. Light, (202) 260-2647

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES
HAWAIIAN NATIVES PROGRAM
(CFDA No. 84.199)

I. PROGRAM PROFILE

Legislation: Part D (Section 5134) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3214) (expires September 30, 1999).

Purpose: To fund drug and alcohol abuse prevention and education activities carried out by organizations that primarily serve and represent Hawaiian Natives.

Funding History

Fiscal Year	Appropriation
1987	$ 389,000
1988	445,302
1989	695,000
1990	1,067,000
1991	1,133,000
1992	1,140,000
1993	1,131,000
1994	1,094,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Hawaiian Natives are the target group for services. The grant recipient, Kamehameha Schools in Honolulu, is working with a community of over 20,000, including 4,500 students served by two school complexes.

Services

Grantee activities have expanded to a Statewide focus for year seven of the program, including such activities as development and dissemination of education materials, resource and referral services, services to out-of-school youth and families, parent and teacher training programs, community-based prevention activities, and technical assistance.

Program Administration

The Kamehameha Schools, the designee of the Governor of the State of Hawaii, administers the program.

Mangement Improvement Strategies

An on-site program review, originally scheduled for FY 1992, was postponed until FY 1994 (pending available resources).

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Bill Harris, (202) 260-3748

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES INDIAN YOUTH PROGRAM
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Part D (Section 5133) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3213) (expires September 30, 1999).

Purpose: To fund drug and alcohol abuse education and prevention programs for Indian children who attend schools operated or funded by the Bureau of Indian Affairs (BIA).

Funding History

Fiscal Year	Appropriation
1987	$1,945,000
1988	2,226,512
1989	3,475,000
1990	5,332,000
1991	5,665,000
1992	5,665,000
1993	5,620,000
1994	5,437,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Indian children attend 183 schools operated or funded by the Bureau of Indian Affairs. These schools served approximately 40,000 students in 22 States in academic year 1991-1992.

Services

Alcohol and drug abuse education and prevention programs include activities such as assistance in implementing curricula, inservice workshops, and special training for students in pursuing drug- and alcohol-free lives.

Program Administration

The program is administered by BIA in accordance with a Memorandum of Agreement between the Secretary of Education and the Secretary of the Interior. Allocation of funds is made through BIA's Office of Indian Education Programs (OIEP) to 26 BIA area and agency offices according to a formula designed for disbursing funds for BIA academic programs. Schools submit applications to their area/agency offices; these offices are responsible for reviewing and approving the applications, allocating the funds, and receiving annual reports on activities and expenditures. Approximately 1 percent of the DFSCA appropriation is set aside for this program.

Mangement Improvement Strategies

In order to improve program monitoring, Department and BIA staff coordinated monitoring efforts and conducted site visits to schools and area/agency offices beginning in FY 1991. OIEP also circulated a directive to all schools in FY 1991 to clarify annual reporting requirements and directed DFSCA coordinators to submit monitoring reports for a minimum of three schools per district.

III. SOURCES OF INFORMATION

1. Study of Programs to Prevent Alcohol and Drug Use Among American Indian Youth: Report on BIA Program Administration. (Final Report) (Washington, DC: Pelavin Associates, Inc.).
2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Bill Harris, (202) 260-3748

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES
SCHOOL PERSONNEL TRAINING GRANTS PROGRAM
(CFDA No. 84.207)

I. PROGRAM PROFILE

Legislation: Part C (Sections 5128 and 5130) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3201, 3203) (expires September 30, 1999).

Purpose: To provide assistance to State education agencies (SEAs), local education agencies (LEAs), and institutions of higher education (IHEs) to support training programs for elementary and secondary teachers, administrators, and other school personnel in drug and alcohol abuse education and prevention.

Funding History

Fiscal Year	Appropriation
1987	$ 7,780,000
1988	8,169,000
1989	20,900,000
1990	16,739,000 1/
1991	20,000,000 1/
1992	20,040,000 1/
1993	10,060,000 1/
1994	13,614,000 1/

1/ The competition in Fiscal Year 1990 included an invitational priority for projects to train counselors, social workers, psychologists, or nurses. Since 1991, the Department has conducted a separate competition for projects to train these personnel. (See Chapter 122.)

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Teachers, administrators, and other school personnel are the intended recipients of training.

Services

Services include programs designed for school personnel other than teachers and administrators, as well as training teachers in how to involve the family and community in drug and alcohol abuse education and prevention. In FY 1993, the Department of Education funded 31 new awards and 36 continuation awards for a total of 67 grants at an average of $150,000.

Outcomes

An assessment of in-service and pre-service school personnel training programs was recently completed (III.2). Participants in in-service training programs reported that the training provided them with specific skills to teach about substance abuse prevention. However, site visitors to various training projects reported that training sessions were more likely to focus on providing information about the use of various drugs than on teaching resistance- and decision-making skills. Furthermore, few grantees provided follow-up or support, such as feedback on teachers' use of prevention training in the classroom, to trainees after the completion of the training session.

The study also identified key elements of promising training programs. These include:

- assessing the needs of trainees prior to planning the training;
- ensuring that there is administrative support for training in drug prevention at both the building and district levels;
- conducting intensive, comprehensive training rather than piece-meal or occasional training;
- ensuring that training content addresses the needs of high-risk students and makes teachers aware of community resources, such as mental health and drug treatment programs for youth; and
- incorporating evaluation into the design and implementation of a training project.

Program Administration

The projects for school personnel are administered by SEAs, LEAs, and IHEs, and are funded for up to 24 months. Awards were made to 29 States and Puerto Rico.

III. SOURCES OF INFORMATION

1.

   Project files.

2. Evaluation of Teacher Training for Substance Abuse Prevention. (STRA: Washington, D.C., unpublished report)

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ethel Jackson, (202) 260-3748

Program Studies : Barbara Vespucci, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES DEMONSTRATION GRANTS PROGRAM
(CFDA No. 84.184A)

I. PROGRAM PROFILE

Legislation: Part D (Section 5131) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3211) (expires September 30, 1999).

Purpose: To provide assistance to institutions of higher education for model demonstration programs coordinated with local elementary and secondary schools for the development and implementation of quality drug and alcohol abuse education and prevention programs.

Funding History

Fiscal Year	Appropriation 1/
1987	0
1988	0
1989	0
1990	$ 5,000,000
1991	4,986,000
1992	5,118,000
1993	5,077,000
1994	4,807,584

1/ Appropriations in FY 1987, FY 1988, and FY 1989 for this program, formerly a component of the Training and Demonstration Grants program, are included in the amounts shown for these years under CFDA No. 84.207, School Personnel Training Grants program (Chapter 119).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Demonstration programs are designed to serve elementary and secondary school students.

Services

A primary focus of this program is the practical application of the findings of education research and evaluation and the integration of research into drug and alcohol abuse education and prevention programs. In FY 1993, the Department of Education funded 21 grants at an average of $241,765.

The funded projects include:

- a demonstration of a model to reduce common risk factors leading to drug and gang activity and to develop position attitudes about self worth and non-involvement in alcohol and drugs (California);
- a demonstration to support the development of self skills for high risk youth, testing seven drug and alcohol prevention theories (Alabama); and
- a demonstration that seeks to improve self-esteem, self-efficiency and academic achievement as a prevention strategy, building resiliency against drug and alcohol abuse (Washington, D.C.).

Program Administration

The program is operated as a grant competition. Projects are administered by institutions of higher education and are funded for up to three years. Awards were made to 16 States and the District of Columbia.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Seledia Shephard, (202) 260-3748

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES FEDERAL ACTIVITIES GRANTS PROGRAM
(CFDA No. 84.184B)

I. PROGRAM PROFILE

Legislation: Part D (Section 5132) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3212) (expires September 30, 1999).

Purpose: To provide assistance to State education agencies, local education agencies, institutions of higher education, and nonprofit organizations to support drug and alcohol abuse education and prevention activities.

Funding History

Fiscal Year	Appropriation 1/
1987	$4,993,000
1988	4,855,000
1989	6,072,000
1990	3,829,000
1991	6,159,000
1992	6,709,000
1993	4,884,000
1994	5,933,078

1/These amounts include only the funds the Department used for Federal Activities Discretionary Grants programs. Additional funds were appropriated under Drug-Free Schools National Programs for other Federal activities such as the Drug-Free School Recognition program and the development and dissemination of publications on prevention for parents, schools, and communities.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Grants support projects that serve students through school-based programs and through community-wide efforts.

Services

Services include the development and implementation of comprehensive drug and alcohol abuse education and prevention programs. Activities feature model development, dissemination, technical assistance, and curriculum development. In FY 1993, the Department funded 23 grants at an average cost of $212,348.

The funded projects included:

- a project to provide intervention and prevention for high-risk youth, grades K-3, including parent education, family counseling and community partnerships to prevent the illegal use of alcohol and tobacco.
- a project that actively involves students in developing and delivering curriculum, and writing and performing theatrical productions, for prevention of illegal use of alcohol and tobacco.

Program Administration

The program is operated as a grant competition. Projects are administered by State education agencies, local education agencies, institutions of higher education, and nonprofit organizations. Awards were made to projects in 16 States and the District of Columbia.

Management Improvement Strategies

The program staff continue to be involved in a project to develop a conceptual framework for a management information system for DFSCA discretionary grantees. The system will be designed to capture basic descriptive information from applications and progress reports on types of grantees, services provided, populations targeted, and evaluation activities.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Gail Beaumont, (202) 260-3748
Program Studies	: Susan Thompson-Hoffman, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES COUNSELOR TRAINING GRANTS PROGRAM
(CFDA No. 84.241A)

I. PROGRAM PROFILE

Legislation: Part C (Sections 5129 and 5130) of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3202, 3203) (expires September 30, 1999).

Purpose: To provide assistance to State education agencies (SEAs), local education agencies (LEAs), and institutions of higher education (IHEs) to support training programs for counselors, social workers, psychologists, or nurses in drug and alcohol abuse education and prevention. A private, nonprofit agency is eligible to apply under this program if it has an agreement with an LEA to provide training in drug abuse counseling to individuals who will provide such counseling in schools.

Funding History

Fiscal Year	Appropriation
1991	$ 3,395,000
1992	3,823,000
1993	3,554,000
1994	3,614,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Counselors, social workers, psychologists, or nurses in elementary and secondary schools are the intended recipients of training.

Services

Services include the development and implementation of comprehensive intervention and prevention programs in drug and alcohol abuse education. Activities feature drug abuse prevention, counseling, and referrals services. Thirty-two grants were awarded in FY 1993 at an average cost of $107,697 with a range from $42,191 to $165,442.

The funded projects included:

- o A project that provides training in counseling, prevention, intervention, and referral for all district counselors, nurses, school psychologists, substance abuse counselors, and social workers. It is designed to improve the quality of drug abuse counseling services in key areas, and to increase the number of school personnel equipped with skills to provide certain drug abuse counseling services.

- A project that provides drug abuse prevention training and activity opportunities to counselors, social workers, psychologists, and/or nurses. Participants receive training and technical support from Drug, Alcohol, Tobacco, Education (D.A.T.E.) Team and/or D.A.T.E. Coordinators in local school districts.

Program Administration

Awards were made to grantees in 21 States.

Management Improvement Strategies

In 1993, the Secretary amended title 34 of the Code of Federal Regulations (CFR) to add a new part 238 containing regulations for the Drug-Free Schools and Communities Counselor Training Grant Program. The regulations governed the FY 1994 Counselor Training Grants competition. The new regulations adopt the selection criteria in 34 CFR Part 231 for the award of grants and provide more specific guidance in the administration of the program.

III. SOURCES OF INFORMATION

1. Project files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John Mathews, (202) 260-3748

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

DRUG-FREE SCHOOLS AND COMMUNITIES
EMERGENCY GRANTS PROGRAM
(CFDA No. 84.233A)

I. PROGRAM PROFILE

Legislation: Section 5136 of the Drug-Free Schools and Communities Act of 1986, as amended (20 U.S.C. 3261) (expires September 30, 1999).

Purpose: To provide assistance to local education agencies (LEAs) that demonstrate significant need for additional assistance for purposes of combating drug and alcohol abuse by students served by such agencies.

Funding History

Fiscal Year	Appropriation 1/
1990	$24,688,000
1991	24,331,000
1992	30,304,000
1993	24,552,000
1994	24,552,000

1/ Funds for the Emergency Grants Program in FY 1990 were appropriated and administered through the State and Local Grants Program (CFDA No. 84.186, Chapter 115). Thereafter, funds have been competitively awarded to LEAs.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting and Services

In FY 1993, the Department of Education funded 61 grants at an average of $402,492. Funded projects include:

- a project to increase resiliency in youth by addressing risk factors in the family, school and community;
- a three-pronged program of prevention services to help rural junior high school students and their families resist drug and alcohol abuse; and

- a model to address family health, academic improvement, parent and community participation, and involvement in alcohol and other drug abuse education, prevention and intervention activities.

Program Administration

Since FY 1991, this program has operated as a grants competition. Projects are funded for up to 2 years. Awards were made to 28 States and the District of Columbia in FY 1993.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Madeline Bosma, (202) 260-3748
Program Studies	: Susan Thompson-Hoffman, (202) 401-3630

CHRISTA McAULIFFE FELLOWSHIP PROGRAM
(CFDA No. 84.190)

I. PROGRAM PROFILE

Legislation: The Higher Education Act of 1965, as amended, Title V, Part C, Subpart 2 (20 U.S.C. 1105a-1105i) (expires September 30, 1997).

Purpose: The Christa McAuliffe Fellowship Program provides annual fellowships to outstanding public and private elementary and secondary school teachers to continue their education, develop innovative programs, consult with or assist school districts or private school systems, or engage in other educational activities that will improve their knowledge and skills and the education of their students.

Christa McAuliffe Fellows may use awards for (1) sabbaticals for study or research associated with the objectives of the program or academic improvement, (2) consultation and assistance to local school systems, private schools, or private school systems, (3) development of special innovative programs, (4) projects or partnerships between schools and the business community, (5) programs that utilize new technologies to help students learn, and (6) expanding or replicating model programs of staff development. Recipients are required to return to a teaching position in their current school system for at least 2 years following the completion of their fellowships.

Program funds were authorized on a formula, rather than discretionary, basis beginning in FY 1993 and are now State-administered. Eligible public and private school teachers, with eight or more years of teaching experience, apply to their State education agency (SEA) rather than the Department of Education (ED).

Funding History

Fiscal Year	Appropriation
1987	$2,000,000
1988	1,915,000
1989	1,892,000
1990	1,932,000
1991	1,954,000
1992	2,000,000
1993	1,964,000
1994	1,964,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Teachers eligible for fellowship awards must teach full-time in a public elementary or secondary school, and have been employed as a teacher for eight or more years. In FY 1992, 66 fellowships were awarded to public and private school teachers for a total of 523 awards since 1987.

Services

Since 1987, fellowships have been awarded for projects in many disciplines. About one-half of all fellowships have been awarded for projects in math and science that include hands-on activities and staff development. Indeed, among their numerous national and state-level awards, 38 Fellows have received the Presidential Award for Math and Science Teaching.

About 20 percent of the awards have been made for research sabbaticals, program development, and teacher training. The remaining fellowships focus on language arts and other educational projects. Examples of these projects, many of which have been expanded beyond the Fellows' home schools, include:

- "Moving with Technology," which converts a bus into a mobile technology training center;
- "Designing Interaction Outdoor Education Display," a museum partnership project to transform schools and courtyards into outdoor adventure activities, nature centers, and learning stations;
- "Aerospace--Our Future," a staff development program that incorporates lectures, field-trips, and hands-on activities in the field of aerospace; and
- "TALES: Teaching Activities for Librarians, Educators, and Students," which is an innovative program that uses the library for the academic development of students.

The range of awards to States, for FY 1993, is $13,447 to $123,942--with an average of $35,074. Individual fellowship awards have ranged from $13,055 to $43,808.

III. SOURCES OF INFORMATION

1. Program Files.
2. Program Abstracts, 1989 - 1992.

IV. PLANNED STUDIES

An evaluation is planned in FY 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Daniel Bonner, (202) 260-2517

Program Studies : Joanne Bogart, (202) 401-1958

WOMEN'S EDUCATIONAL EQUITY
(CFDA No. 84.083)

I. PROGRAM PROFILE

Legislation: The Women's Educational Equity Act (WEEA), Title IV-A of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3041-3047) (expires September 30, 1999).

Purpose: The Women's Educational Equity Act (WEEA) program was enacted in 1974 to promote educational equity for girls and women, including those who suffer multiple discrimination based on gender and on race, ethnicity, national origin, disability, or age, and to provide funds to help education agencies and institutions meet the requirements of Title IX of the Education Amendments of 1972.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1976	$6,270,000	1987	$3,500,000
1980	10,000,000	1988	3,351,000
1981	8,125,000	1989	2,949,000
1982	5,760,000	1990	2,098,000
1983	5,760,000	1991	1,995,000
1984	5,760,000	1992	500,000 1/
1985	6,000,000	1993	1,984,000
1986	5,740,000	1994	1,984,000

1/ For FY 1992, Congress appropriated $500,000 for a contract to be awarded for the operation of the WEEA Publishing Center. Since no funds above that amount were made available, the Department did not conduct a competition for new grants during FY 1992.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

While no formal indicators of program performance have been adopted, several possible indicators could be developed, including the numbers of participating girls who continue to take courses in math, science, and computer science; and pursue careers that require backgrounds in these disciplines; the number of women and girls assisted by the program; the number of requests for materials to the WEEA Publishing Center; and the number of materials published by the Publishing Center.

Population Targeting

The program awards grants and contracts to public agencies and nonprofit private agencies, institutions, individuals, and organizations--including student and community groups--to operate programs that promote educational equity for women and girls.

Services

WEEA funds support a wide variety of demonstration, developmental, and dissemination projects, including the development and evaluation of educational materials, training programs, and guidance and counseling activities. WEEA projects must have national, Statewide, or general significance and may address all levels of education. WEEA grantees may provide direct services to a target group or may develop educational materials that are disseminated through the WEEA Publishing Center.

In FY 1992, while there were no new grantees, the center continued to work with former grantees who were in the final stages of product development or submission for peer review. The center expanded its networking capacity with the addition of electronic networking. Through its initial link with EquityNet, the Publishing Center now shares resources and information with over 4,000 social services organizations and individuals who subscribe to EquityNet, significantly increasing the impact of gender equity awareness and access to WEEA resources in a market that had previously been difficult to reach.

The center continued to publish and disseminate digests and monographs that have contributed significantly to the national education reform discussion--especially the topics of women's and girls' participation in math and science, and gender violence. It continued to work with over 200 local and national organizations that routinely disseminated WEEA information and materials, working especially closely with the Desegregation Assistance Centers, Association of American University Women, Girls, Inc., the Center for Urban Education, The College Board, and Expanding Your Horizons. This high level of public visibility also included involvement in a national task force on vocational education and in a College Board Advisory Board.

Publishing Center sales continued to increase. During FY 1993, there was increased interest in materials relating to non-traditional career choices, women in transition, and gender-based violence. Math and science requests continued to climb, especially in those States attempting systems reform. A highlight of the year was the publication of Sister in the Blood: The Education of Women in Native America, the first national research on the experience of Native American women in education. The book, which points the way to significant change in how we educate Native American children, is beginning to gain national recognition.

In FY 1993, the Department made 20 grants, including 13 general and 7 challenge grants. In FY 1993, the math, science, and computer science priority was continued.

Program Administration

The WEEA program continues to be administered under the regulations that went into effect after the Hawkins-Stafford Amendments of 1988. Under current law, the statute authorizes model projects of national, Statewide, or general significance as well as small challenge grants ($40,000) to develop innovative strategies. If the appropriation exceeds $4.5 million, two-year matching grants for projects of local significance are also authorized. The Administration's reauthorization proposal would restructure the program to give priority to support for local implementation of gender-equity policies and practices. Authorized activities would include those designed to:

- prevent sexual harassment;
- train teachers, other school staff, and school administrators in gender-equitable instructional techniques;
- increase opportunities for women and girls in non-traditional fields through leadership training and school-to-work transition programs; and
- help pregnant and parenting teens remain in school, graduate, and prepare their children for preschool.

The program would also continue to support the development, evaluation, and dissemination of instructional and other materials, as well as research, development, and demonstrations designed to advance gender equity.

Outcomes

In FY 1992, the majority of sales from the WEEA Publishing Center were to teachers and faculty of community and junior colleges; colleges and universities; local education agencies; and intermediate agencies including learning centers and area education agencies. The Publishing Center responded to requests for assistance from individuals and organizations nationwide representing adult programs, employment centers, girls clubs, career centers, child-care networks, guidance counselors, and K-12 teachers. In addition, there has been increased interest in mentoring and materials in the area of math and science.

III. SOURCES OF INFORMATION

1. Program files.
2. WEEA Publishing Center: Current Sales Activity, User Surveys.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Carrolyn Andrews, (202) 260-2670

Program Studies : Lenore Garcia, (202) 401-3630

MIGRANT EDUCATION--HIGH SCHOOL EQUIVALENCY PROGRAM (HEP) AND COLLEGE ASSISTANCE MIGRANT PROGRAM (CAMP)
(CFDA Nos. 84.141 and 84.149)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Section 418A, P.L. 89-329, as amended by P.L. 102-325 (20 U.S.C. 1070d-2 (6)) (expires September 30, 1997).

Purpose: The High School Equivalency Program (HEP) helps persons 16 years of age or older who are not currently enrolled in school to obtain the equivalent of a secondary school diploma and subsequently to gain employment or to begin postsecondary education or training. The College Assistance Migrant Program (CAMP) assists students enrolled in the first undergraduate year at an institution of higher education to complete their program of study for that year. Grants for both HEP and CAMP are made to institutions of higher education (IHEs) or to other nonprofit private agencies that cooperate with such institutions.

Funding History: [1]

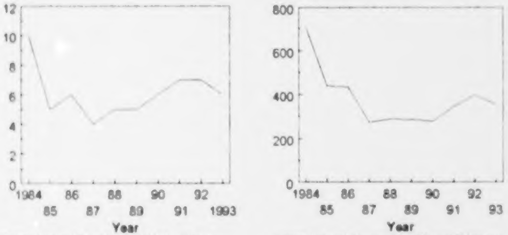
Fiscal Year	Appropriation		Fiscal Year	Appropriation	
	HEP	CAMP		HEP	CAMP
1975	$5,396,665 [2]		1987	$6,300,000	1,200,000
1980	6,160,000	$1,173,000	1988	7,276,000	1,340,000
1981	6,095,000	1,208,000	1989	7,410,000	1,482,000
1982	5,851,200	1,160,000	1990	7,858,000	1,720,000
1983	6,300,000	1,200,000	1991	7,807,000	1,952,000
1984	6,300,000	1,950,000 [3]	1992	8,310,000	2,265,000
1985	6,300,000	1,200,000	1993	8,161,184	2,224,064
1986	6,029,000	$1,148,000	1994	8,161,184	2,224,064

[1] The Department of Labor began funding HEP and CAMP in 1967, but funding information before 1975 is not available.

[2] This figure represents total funding for both HEP and CAMP in FY 1975.

[3] Includes a $750,000 supplemental appropriation for CAMP.

CAMPs


Number of CAMP sites, 1984-1993

Source National Commission on Migrant Education and program files

Number of CAMP Participants

Source National Commission on Migrant Education and program files

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The National Commission on Migrant Education reported in 1992 that the HEP/CAMP National Evaluation Project Study found that more than 75 percent of recent program participants reported total annual family (with an average of seven members) incomes of under $10,000 (III.1).

According to a longitudinal evaluation of the programs, the two programs have, over the last 20 years, served approximately 45,000 students out of an estimated 1.4 million persons whose migratory employment patterns make it difficult for them to complete high school and college educational objectives. Eighty-three percent of HEP students and 93 percent of CAMP students were Hispanics between the ages of 17 and 20 (III.2). The HEP program will serve an estimated 2,963 persons, and the CAMP program an estimated 355 persons in school year 1993-94 (III.3).

Funding for CAMP has remained relatively constant since 1984 in current dollars, but the cost of higher education has increased rapidly. As a consequence, the number of students served through CAMP funding has decreased by approximately one-half since 1984.

Services

HEP participants receive developmental instruction and counseling services intended to prepare them (1) to complete the requirements for high school graduation or the general education development (GED) certificate; (2) to pass a standardized test of high school equivalency; and (3) to participate in subsequent postsecondary educational or career activities (III.2). The major services offered through HEP are counseling, placement services, healthcare, financial aid, stipends, housing for residential students, and attendance at cultural and academic programs. HEP serves an average of 3000 students annually. Grants are given to institutions of higher education and nonprofit organizations. Currently, neither geographical location nor the size and proximity of the migrant population is considered when awarding grants, so some areas of high migrant concentrations do not have HEP services. In 1992, the National Commission on Migrant Education asked consideration of recommendations to expand the program cycle from 3 to 5 years, include geographic distribution as a criterion in future funding, and reject the concept of capacity building as an inappropriate constraint on these programs (III.1).

The College Assistance Migrant Program (CAMP) is the only national support program directed solely toward migrant college students. CAMP is a full-service program helping first-year migrant college students (who usually work, in addition to taking courses) to make the transition from high school to college and to complete a college education. CAMP's services include counseling, tutoring, skills workshops, financial aid, stipends, and housing assistance to first-year college students and limited follow-up services to participants after their first year. This small program selects its participants competitively; on average, sites receive 200 applications for every 40 slots (III.2 and III.5).

According to a descriptive review of HEP and CAMP, academic instruction accounted for 57 percent of the average service hours at 12 HEP sites providing services. Instructional support services such as tutoring accounted for 17 percent of the total services provided by HEP projects, job training accounted for 14 percent, counseling services for 7 percent, and cultural or social activities accounted for 5 percent. CAMP projects, on the other hand, emphasize such support services as tutoring and academic and personal counseling rather than direct academic instruction (III.4).

Program Administration

In FY 1993, 20 HEP programs were funded in 13 States, with grants ranging from $300,661 to $499,597. Six CAMP programs were funded in 5 States, with grants ranging from $306,440 to $410,576 (III.3).

The average cost of supporting one HEP participant for the 1993-94 school year was $2,752; the average cost for one CAMP participant was $6,192 (III.3).

According to the 1989 descriptive review of 16 HEP projects, there were differences in expenditures per participant at commuter, residential, and mixed residential/commuter projects. Commuter HEP projects spent, on the average, $2,160 per participant in 1986-87; residential projects spent $2,287 per participant; and mixed residential/ commuter projects spent $2,797 per participant. The cost per participant was $2,340 at IHE-operated projects and $2,308 at HEP projects operated by private, nonprofit agencies (III.4).

Outcomes

While evaluations from the mid- to late 1980s showed strongly positive outcomes for these programs, there has been no recent evaluation. According to the longitudinal study of the programs, 85 percent of the students enrolled in HEP programs between 1980 and 1984 have passed the GED. Approximately 81 percent of all HEP participants passed the high school equivalency test while they were enrolled in the program, and the remainder did so at a later time (III.2). For high school graduates in the year sampled, 60 percent enrolled in two- or four-year college (III.1).

Another study showed that the average rate of GED completion was 70 percent according to data from an evaluation of the program. Of the HEP graduates, 40 percent enrolled in technical\vocational schools, 37 percent in 2 year colleges and 23 percent at 4 year schools (III.4).

HEP programs that were directly affiliated with colleges and universities had GED completion rates of 85 percent while programs lacking a direct university affiliation had GED completion rates of 71 percent. Thirteen percent of the participants in college-based programs earned associate or baccalaureate degrees as compared to five percent of the participants in programs without a university affiliation. Programs that specified anticipated outcomes in observable and measurable terms had a success rate 20 to 30 percent higher than those that did not (III.2).

A longitudinal study found that a total of 92 percent of CAMP participants successfully completed their first year of college (much higher than the national norm of about 50 percent among all first-time entering freshmen) and about 56 percent remained in school and completed college (III.1). Fifteen percent of CAMP students completed a 4 year degree program, and 13 percent completed a 2 year degree program. About one percent of HEP students completed a 4 year degree program and 5 percent completed a 2 year degree program (III.2).

According to the descriptive review of HEP and CAMP, 70 percent of HEP participants completed the GED during the school year. Seventy-three percent of participants at IHE-operated projects completed the GED, as compared with 53 percent of participants at private, nonprofit projects. At residential HEP projects, 83 percent of participants received the GED; at commuter HEP projects, 68 percent of participants received the GED; and at mixed residential/commuter HEP projects, 67 percent of participants received the GED (III.4).

Upon completing the HEP program, 29 percent of the participants were enrolled at a postsecondary institution and 18 percent were employed in nonmigratory work. Eighty-one percent of CAMP participants completed their first year of college (III.4).

III. SOURCES OF INFORMATION

1. National Commission on Migrant Education, Invisible Children: A Portrait of Migrant Education in the United States (Washington, D.C.: September 23, 1992).

2. HEP/CAMP National Evaluation Project, Research Report No. 3: A Comprehensive Analysis of HEP/CAMP Program Participation (Fresno, CA: California State University, October 1985).

3. Program files.

4. Descriptive Review of Data on the High School Equivalency Program (HEP) and College Assistance Migrant Program (CAMP) (Washington, DC: Pelavin Associates, April 1989).

5. Services to Migrant Children: A Supplemental Volume to The National Assessment of the Chapter 1 Program (Washington, D.C.: Westat, Inc. 1993).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Francis V. Corrigan, (202) 260-1124
Program Studies	:	Jeffery Rodamar, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
ARTS IN EDUCATION
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Section 1564 of the Elementary and Secondary Education Act (ESEA) of 1965, as amended (20 U.S.C. 2964) (expires September 30, 1999).

Purpose: To establish and conduct programs in which the arts are an integral part of elementary and secondary school curricula.

Funding History

Fiscal Year	Appropriation[1]	Fiscal Year	Appropriation[1]
1976	$ 750,000	1987	$3,337,000
1980	3,500,000	1988	3,315,000
1981	2,025,000	1989	3,458,000
1982	2,025,000	1990	3,851,000
1983	2,025,000	1991	4,392,000
1984	2,125,000	1992	8,600,000[2]
1985	3,157,000	1993	6,944,000
1986	3,157,000	1994	8,944,000

1/ This program is one of several activities authorized by ESEA, Title I, Chapter 2, Part B, Section 1561. The maximum amount authorized for Part B is 6 percent of the amount appropriated for Chapter 2. Section 1561 also establishes a minimum level of $3,500,000 for the Arts in Education program.

2/ A one-time increase was provided in FY 1992 to allow grantees to switch funding cycles and begin receiving their awards on or around July 1, instead of October 1.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Arts in Education program provides funding to the Very Special Arts (VSA) program (formerly the National Committee on Arts for the Handicapped (NCAH)) to encourage and support quality programs integrating the arts into general education for disabled youth and adults. The program also provides funds to the John F. Kennedy Center for the Performing

Arts, which support a variety of activities including: the Alliance for Arts Education, a network of State arts education committees that focus on making the arts an integral part of basic education; the American College Theater Festival; Performances for Young People internship programs; the Arts Centers and Schools program; and other educational services.

The Kennedy Center has no specific targeting provisions. Disabled and non-disabled children and youth, parents, teachers, and school administrators participate.

Services

For FY 1993, VSA was awarded $3,968,000 to conduct training and technical assistance related to organizational and public/private partnership development, program development and expansion, training, and information services and public awareness in all 50 States and Puerto Rico. The program is designed to help build a cohesive national network, public and private partnerships, and ongoing arts education programs for persons with disabilities. At the center of the VSA program is the VSA Festival which is intended to enable individuals of all ages to celebrate their artistic accomplishments. In FY 1993, more than 600 such local festivals were held around the country.

For FY 1993, the Kennedy Center received $2,976,000 to help carry out its educational activities for the year. These funds were primarily used to support the Alliance for Arts Education, the "Imagination Celebration," the American College Theater Festival, and the Arts Centers and Schools Program.

VSA received a supplemental award for FY 1992 through the Drug Planning and Outreach program for $250,000 to fund two innovative projects. The first project was The Art of Prevention, a training video for teachers on drug prevention. The second project was the Very Special Arts Video Challenge, a project to engage students to explore issues relating to drug abuse and create innovative prevention messages.

For FY 1993, VSA also received a supplemental award through the Drug Planning and Outreach Program for $300,000 to fund an innovative project. Through the Murals Reflecting Prevention project, students (grades 1-12) from schools across the United States learned about alcohol, tobacco, and other drug prevention through the process of creating murals. Teachers were provided a comprehensive project packet, complemented by a videotape.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Carrolyn Andrews, (202) 260-2670

Program Studies : Robert Glenn, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
INEXPENSIVE BOOK DISTRIBUTION
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Section 1563 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended (20 U.S.C. 2963) (expires September 30, 1999).

Purpose: To support and promote the establishment of reading motivation programs, including the distribution of inexpensive books to students in order to encourage students to learn to read.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$5,850,000	1988	$7,659,000
1983	5,850,000	1989	8,398,000
1984	6,500,000	1990	8,576,000
1985	7,000,000	1991	9,271,000
1986	6,698,000	1992	10,000,000
1987	7,800,000	1993	10,029,000
1988	7,659,000	1994	10,300,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Inexpensive Book Distribution Program is directed at preschool, elementary, and secondary students. As a result of the National Literacy Act Amendment of 1991, the program places a selection priority, for new grantees, on children with special needs--such as low-income children, children at risk for school failure, children with disabilities, emotionally disturbed children, foster children, homeless children, migrant children, children without access to libraries, institutionalized children, incarcerated children, and children whose parents are institutionalized or incarcerated. Since the Literacy Act passed, 35 new projects--that serve over 20,000 children--have been added to the 3,000 previously funded projects.

The Administration's proposal for reauthorizing the Inexpensive Book Distribution Program would encourage local capacity building by limiting the number of years projects can receive funding, and give priority to new projects serving children with special needs.

Services

The program, administered through a contract between the U.S. Department of Education and Reading Is Fundamental, Inc. (RIF), provides inexpensive books to students in conjunction with motivational activities to encourage reading. RIF also arranges discounts for distributors to enable local projects such as schools, PTAs, and community organizations to purchase books at reduced rates.

With FY 1993 funds, approximately 3,000 federally funded local projects are distributing an estimated 6.6 million books to 2.2 million children in 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, and Guam. Since 1976, RIF has distributed over 100 million books to local groups through its subcontractor book companies (III.2). (This figure includes books donated to the program, as well as those purchased with program funds.)

Federally funded RIF projects serve five percent of the U.S. school-age population. The highest proportions of school-age children served, 68 percent, are in the District of Columbia, where the program originated, followed by Vermont (16 percent), Rhode Island (15 percent), Alaska (13 percent), and New Mexico (10 percent). The lowest proportions (one percent) of school-age children are served by federally funded projects in Georgia, Nebraska, and Nevada (III.2).

Program Administration

This program is conducted by Reading Is Fundamental, Inc. (RIF), a non-profit organization through a contract with the U.S. Department of Education. A 1992 evaluation found that 57 percent of the federally funded local projects are operated by schools and districts, 23 percent by PTAs and PTOs, and the remainder by service groups (11 percent), library associations (three percent, and other organizations. The substantial proportion of projects operated by PTAs and PTOs suggests that access to the program may depend on active parental involvement (III.2).

In FY 1990, 12 percent of the Federal funds allocated were used for national administration costs relating to the program. These costs included salaries, office rent and supplies. National office functions include approving organizations to run local projects, processing book invoices, and negotiating and monitoring agreements with book suppliers. RIF does not have a structured system for approving new federally funded projects. Thus, the projects receiving Federal funding remain essentially the same each year (III.2).

Federal funds pay for 75 percent of the book costs for all federally funded projects, except those serving children of migrant farmworkers, which receive 100 percent Federal funding. With this exception, federally funded projects must raise funds to cover the remaining 25 percent of book cost and 100 percent of any other costs. Other local RIF projects are supported entirely by funds from private contributions and local fundraising efforts. Ninety-nine percent of staff operating federally funded projects are unpaid volunteers, which keeps operational costs low (III.2).

Local RIF projects differ in their administrative practices based on the number of sites. One- or two-site projects have a project coordinator who organizes project activities, enlists the support of volunteers, and selects and coordinates book selection committee members and activities. Multi-site projects include staff at a mid-management level, who oversee selected sites (III.2).

Outcomes

Isolated studies of a limited number of projects have found increases in the amount of time the children served spent reading, the number of books they bought or owned, their positive attitudes toward reading, and the likelihood that they discussed books with other students (cited in III.2). However, comparable national data do not exist. RIF does not currently collect quantitative outcome data but provides anecdotal testimonials concerning project results.

Management Improvement Strategies

An evaluation of the Inexpensive Book Distribution Program suggests that RIF be required to make the development of financial self-sufficiency of local RIF projects an immediate priority, through working with local projects to assess their financial stability. The Department is proposing, through the reauthorization of the program, that RIF be required to distribute Federal funds to only those local projects serving children least likely to have access to books (III.2).

III. SOURCES OF INFORMATION

1. Program files for funding history.

2. Abbott, C., Yudd, R., and Gutmann, B., Evaluation of the Inexpensive Book Distribution Program. (Washington, DC: Office of Policy and Planning, U.S. Department of Education, 1992).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Carrolyn N. Andrews, (202) 260-2670
Program Studies	:	Joanne Bogart, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
LAW-RELATED EDUCATION
(CFDA No. 84.123)

I. PROGRAM PROFILE

Legislation: Section 1565 of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 2965) (expired September 30, 1999).

Purpose: To enable children, youth, and adults to become more informed citizens by providing them with knowledge and skills pertaining to the law, the legal process, the legal system, and the fundamental principles and values on which these are based.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$1,000,000	1988	3,830,000
1981	1,000,000	1989	3,952,000
1982	960,000	1990	4,938,000
1983	1,000,000	1991	5,855,000
1984	1,000,000	1992	6,000,000
1985	2,000,000	1993	5,952,000
1986	1,914,000	1994	5,952,000
1987	3,000,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Local, State, and national projects predominantly serve students in public and private schools from kindergarten through grade 12. The legislation also contains a priority for Statewide projects.

Services

The Law-Related Education program is directly designed to help prepare students for responsible citizenship through challenging courses that stimulate the ability to reason, solve problems, and apply knowledge. Many projects promote personal responsibility and involve students in community service. Law-related education covers a wide range of subjects such as the Bill of Rights and other areas of constitutional law; the role and limits of law in a democratic society; the Federal, State, and local lawmaking process; the role of law in avoiding and resolving conflicts; the administration of the criminal, civil, and juvenile justice systems; and issues of authority, freedom, enforcement, and punishment.

For the 1993 school year, 37 law-related education projects were funded in 19 states and the District of Columbia. The FY 1993 grants ranged in size from $29,300 to $487,548 and were made to State and local education agencies, and public and nonprofit organizations. Four projects were nationwide, while 20 were local, and 14 statewide in scope.

Outcomes

The program is listed in Educational Programs that Work: The Catalogue of the National Diffusion Network (NDN), 18th edition, 1992. The most recent research study on the impact of law-related education was completed in 1984.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

An evaluation of law-related education began in the fall of 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Janice Williams-Madison, (202) 401-1059

Program Studies : Robert Glenn, (202) 401-1958

EDUCATION FOR NATIVE HAWAIIANS
(CFDA Nos. 84.208-84.210)

I. PROGRAM PROFILE

Legislation: The Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, Title IV, as amended (20 U.S.C. 4901) (expires September 30, 1999).

Purpose: To authorize and develop supplemental educational programs to benefit Native Hawaiians, provide direction and guidance to appropriate Federal, State, and local agencies to focus resources on the problems of Native Hawaiian education, and supplement and expand existing programs and authorities to further the education of Native Hawaiians. The program consists of five components: (1) Curriculum Development; (2) Family-Based Education Centers; (3) Higher Education Demonstration; (4) Gifted and Talented Demonstration; and (5) Special Education.

Funding History

Fiscal Year	Appropriation
1989	$4,940,000
1990	6,419,000
1991	6,366,000
1992	6,400,000
1993	6,448,000
1994	8,224,000

II. PROGRAM INFORMATION AND ANALYSIS

Services

The family-based centers operated by the Kamehameha Schools and the Punana Leo organization provide educational services to the entire family to ensure the educational readiness of Native Hawaiian children as they enter kindergarten and to eliminate the need for special services at school. Programs offered at the centers are tailored to match the specific needs of the Native Hawaiian language and culture.

The family-based programs require parental involvement to achieve program effectiveness and to reach their goals to increase participation in prenatal care, lower the incidence of birth anomalies, improve academic readiness for kindergartners, reduce the number of children requiring special educational services, reduce stress among parents, and encourage parents to finish high school.

Program Administration

The five components of this program are administered by three separate offices in the Department of Education: the Office of Elementary and Secondary Education, the Office of Special Education and Rehabilitative Services, and the Office of Postsecondary Education.

In FY 1989, a grant was awarded to Kamehameha Schools with subcontracts to the University of Hawaii and the State education agency (SEA) to implement, in appropriate Hawaiian public schools, the model curriculum developed by the Kamehameha Elementary Demonstration School. The grant has been continued and funded annually through 1993 and currently totals $2,275,848. Grantee-sponsored activities include comprehensive teacher training, educational support services, and research and development.

In FYs 1989 through 1993, the Department of Education also awarded grants totaling $8,694,418 to Kamehameha Schools and $5,471,374 to Aha Punana Leo to develop and operate Family-Based Education Centers. Currently, Kamehameha operates 14 centers that provide parent-infant programs and preschool programs to approximately 1,800 students and 200 parents. Aha Punana Leo operates five centers that provide these services to about 1,000 students and their parents.

A grant, begun in FY 1989 and currently totaling $4,337,400, was awarded to the University of Hawaii at Hilo to establish a Gifted and Talented Center for demonstration projects to address the special needs of Native Hawaiian elementary and secondary school students who are gifted and talented, and to provide support services to their families. Twenty demonstration projects serve almost 2,000 students and their families.

In FY 1990, two grants totaling $1,678,000 were awarded to the Kamehameha Schools for a demonstration program to provide fellowships to undergraduate Native Hawaiian students and for a demonstration project to provide fellowships to Native Hawaiian students pursuing graduate degrees, with priority given to students seeking professions in which Native Hawaiians are under-represented.

Outcomes

In FY 1991, the Department of Education reviewed the features of the family-based educational programs for Native Hawaiians and examined how they can serve as models for the development of other family-based programs in targeted communities. Preliminary evidence of the programs' success shows that participants of the Kamehameha center-based preschools had better vocabulary scores than non-participants, and that the popularity of the Punana Leo programs is reflected in the long list of students waiting to enter the program (III.2).

The review found that because the programs' developers understand the needs of the families they are serving, they are effectively planning for resources and activities to fit the needs of the community. For example, the Kamehameha programs are providing practical solutions to specific problems observed among Native Hawaiians. These include identifying at-risk pregnancies and providing health education to improve birth outcomes; identifying developmental delays by using home visitors to monitor the growth and development of infants and toddlers; providing Travelling Preschools that bring appropriate activities to two- and three-year-olds who live in rural communities; and planning curriculum to improve deficiencies in language development and in literacy training (III.2).

The Native Hawaiians tend to utilize and participate more often in the programs and services provided through the family-based centers than in other early childhood programs for children at risk of educational failure (III.2).

By recruiting local paraprofessionals who are familiar with the values, preferences, and patterns of helping the communities to serve as "culture-brokers", and by conducting classes in the Native Hawaiian language, the Kamehameha and the Punana Leo programs have gained acceptance. The "culture-brokers" ensure that families are comfortable participating in the programs (III.2).

III. SOURCES OF INFORMATION

1. Program files.

2. "Using Family-Based Educational Programs for Native Hawaiians As Models" (A summary paper prepared for the U.S. Department of Education by Westat, Inc., Rockville, MD, May 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Madeline Baggett, OESE, (202) 260-2502 Linda Glidwell, OSERS, (202) 205-9099
Program Studies	:	Barbara Coates, (202) 401-1958

DWIGHT D. EISENHOWER MATHEMATICS AND SCIENCE EDUCATION STATE GRANT PROGRAM
(CFDA No. 84.164)

I. PROGRAM PROFILE

Legislation: Title II, Part A of the Elementary and Secondary Education Act, as amended (Dwight D. Eisenhower Mathematics and Science Education Act), as amended (20 U.S.C. 2981) (expires September 30, 1999).

Purpose: To provide financial assistance to State education agencies (SEAs), State agencies for higher education (SAHEs), local education agencies (LEAs), institutions of higher education, the Outlying Areas, and the Bureau of Indian Affairs to improve the skills of teachers and the quality of instruction in mathematics and science in public and private elementary and secondary schools.

Funding History

Fiscal Year	Appropriation 1/
1984	$0
1985	90,100,000
1986	39,182,000
1987	72,800,000
1988	108,904,000
1989	128,440,000
1990	126,837,000
1991	202,011,000
1992	240,000,000
1993	246,016,000
1994	250,998,000

1/ The appropriation amounts exclude funds that support Title II National programs (20 U.S.C. 2989).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program supports pre-service and in-service training and retraining of teachers and other school personnel, and the recruitment of minority teachers, in the fields of mathematics and science. Over 90 percent of all LEAs and approximately 1,100 institutions of higher education have participated in the program (III.1). Each grantee must assure that its programs will take into account the need for greater access to participation by historically under-represented and under-served populations, including females, minorities, individuals with disabilities, individuals with limited-English proficiency, migrant students, and gifted and talented students.

From analysis of State performance reports, the Department estimates that flow-through funds to LEAs during school year 1991-92 supported activities that served approximately 744,000 participants, 94 percent of whom were in-service teachers, the remainder being pre-service teachers, administrators, supervisors, and other staff. During this same period, SEAs' Demonstration and Exemplary projects served an estimated 39,500 participants, 84 percent of whom were in-service teachers. Grants to institutions of higher education supported activities that served approximately 63,300 participants, 91 percent of whom were in-service teachers. In some cases, figures reported as multiple participants may actually reflect participation of the same teacher in multiple professional development activities (III.1).

Services

A 2 year national study of the Education for Economic Security Act Title II/Eisenhower Program was completed in 1990; the final report was issued in February 1991 (III.2). Although most of the data applied specifically to the 1988-89 school year (the last year of the Education for Economic Security Act Title II Program), reauthorization in 1988 did not change the program significantly, and findings generally apply to the Eisenhower State Grant Program. Highlights of the findings include the following:

- The Title II Program served large numbers of the nation's teachers. Flow-through funds to districts and higher education grants together supported more than 600,000 professional development experiences ("slots" or opportunities) in 1988-89. Although there may be some duplication in this count, data indicate that at least one-third of all teachers of mathematics and science (including elementary school teachers) benefited each year from services supported by the program.
- More than 75 percent of all program funds supported professional development activities for teachers, including in-service training. Other activities included curriculum development, purchase of materials, supplies, and equipment.
- Flow-through funds were used by districts primarily to support in-service training, as well as out-of-district professional development. The latter included opportunities for teachers to attend professional conferences in science and mathematics education.
- In most States, the allocation to districts amounted to an average of about $30 per teacher. Typically, districts did not support high-intensity training. The median amount of training that Title II supported for a participating teacher was 6 hours, but

there was a wide range. Fifteen percent of participants received more than 18 hours of training.

- Higher education projects typically offered teachers many more hours of training than did district-sponsored activities, with a median of 60 hours per participating teacher. These were frequently summer projects lasting several weeks, often offering graduate-level credit.

Many small LEAs pool their Eisenhower program funds, either by forming consortia or by turning their funds over to intermediate units such as Education Service Centers, which obtain training and other services for them. However, about 10 percent of very small districts do not participate in the program, largely because the amount of funding is too small to warrant a project. Institutions of higher education, which are funded competitively by the SAHE, work with one or more LEAs, and may provide services in partnership with businesses, museums, and other community organizations. Five percent of funds apportioned for programs at the LEA level are retained by the SEA to support demonstration and exemplary projects (III.1).

Program activities must emphasize science and mathematics instruction. Analysis of State performance reports for school year 1991-92 indicates that 53 percent of the LEAs used flow-through funds to support activities in both science and mathematics, with the remainder split evenly between only mathematics (24 percent) and only science (22 percent) (III.1).

Teacher training projects that involve computer instruction are authorized only in the context of mathematics and science programs, and LEAs can use funds to purchase computer or telecommunications equipment only at schools with at least a 50 percent low-income population, after all other training needs have been met. The program has also focused attention on improving access to instruction in these critical subjects by historically under-represented and under-served groups, such as women and minorities (III.1).

Most of the professional development supported by the Eisenhower State Grant Program has been relatively brief, not part of a comprehensive plan, and not sustained. Research and successful programs, however, have demonstrated the value of sustained and intensive high-quality professional development based on new models of teaching and learning, tied to high content standards, and located within professional communities of teachers. As the national study found, Title II/Eisenhower funds were more likely to be well spent in school districts with well-focused agendas for improvement (III.2).

Analysis of State performance reports for school year 1991-92 indicated that 42 percent of LEAs used Eisenhower flow-through funds for workshops and seminars of 8 hours or less, compared to only 9 percent of projects for institutions of higher education. Over one-third (36 percent) of LEAs reported using Eisenhower funds to support extended workshops or mini-courses of 9-20 hours, compared to almost half (49 percent) of higher education projects. Full-term courses of 21-30 hours were reported by 8 percent of the LEAs and 20 percent of the higher education projects, with other kinds of activities accounting for the remainder. Figures on the duration of LEAs' professional development activities are based on responses from 81 percent of all States; for institutions of higher education, figures are based on responses from 73 percent of all States (III.1).

Program Administration

At least two-thirds of Eisenhower State Grant Program funds flow through SEAs to LEAs. Funds are allocated to LEAs in accordance with student enrollment counts and poverty criteria, upon the SEA's review and approval of LEA applications that include a description of the activities to be provided and their relationship to the LEAs' needs assessments. Twenty-five percent of allotted funds go to the SAHE, which makes competitive awards to institutions of higher education to provide services to LEAs. SEAs can use the remainder of funds for administration, technical assistance, and demonstration and exemplary programs (III.1). The national study found that the three components of the program (flow-through funds to districts, higher education grants, and State leadership activities) provided services that largely complemented and reinforced one another (III.2).

Seventy-two percent of the grants to institutions of higher education were in the range from $10,000-$49,999, according to analysis of State performance reports for 1991-92 (III.1). The national evaluation found that grants to institutions of higher education averaged about $31,000 per project, but there was a large variation in grant size, which ranged from $750 to $419,000. Grants were typically for one year only. Nearly one-fifth of all institutions of higher education in the Nation had received Title II or Eisenhower grants. On average, only four percent of grant funds were used to pay for indirect costs at the host institution, far lower than the indirect costs typically associated with scientific or education grants. More than half the project directors were in mathematics and science departments, rather than in departments or schools of education (III.2).

The study found that the Demonstration and Exemplary projects supported by SEAs and SAHEs are numerous and modest in size. More than 700 were supported in 1988-89, averaging $17,000 each. These projects are highly varied and are typically designed to address key concerns within each State, such as efforts to educate teachers about new State curriculum frameworks or new high school graduation requirements (III.2).

The national study of the program made several recommendations (III.2). Among these are (1) that States and LEAs focus more resources on projects of higher intensity and longer duration, and (2) that dissemination efforts be strengthened in order to provide State and local agencies with maximum information on effective and exemplary uses of funds.

Management Improvement Strategies

The Department has developed new forms for the annual State performance reports to provide a clearer picture of the program within the context of systemic reform. In addition to asking for data on program activities, the new forms call for information on the placement of the Eisenhower program within the SEA or SAHE, coordination with other major educational reform initiatives in the State, State educational needs assessments, guidance provided by States to school districts, and program evaluation. States will begin using the new annual performance reports to describe program activities for school year 1993-94.

III. SOURCES OF INFORMATION

1. Program files.

2. The Eisenhower Mathematics and Science Education Program: An Enabling Resource for Reform (Washington, DC: SRI International and Policy Studies Associates, 1991).

IV. PLANNED STUDIES

In FY 1994, the Department plans to participate in a National Science and Technology Council study of teacher enhancement programs across several member agencies, which will include selected Eisenhower-funded projects. The study will examine professional development for in-service teachers and its influence on their classroom instruction.

In FY 1995, the Department plans to begin a comprehensive evaluation of the Eisenhower State Grant Program to assess the program's contribution toward systemic educational reform. In addition, during FY 1993, the Department began evaluations of the Eisenhower State Curriculum Frameworks Projects and Regional Consortiums Program. As part of the evaluations, the Department is examining the relationship of these programs with the Eisenhower State Grant Program.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Daniel Bonner, (202) 260-2517
Program Studies	: Nancy Loy, (202) 401-1958

MAGNET SCHOOLS ASSISTANCE PROGRAM
(CFDA No. 84.165)

I. PROGRAM PROFILE

Legislation: Title III of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3021-3032) (expires September 30, 1999).

Purposes: To provide financial assistance to eligible local education agencies (LEAs) to support 1) the elimination, reduction, or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority students; and 2) courses of instruction within magnet schools that will substantially strengthen the knowledge of academic subjects and marketable vocational skills of students attending these schools.

Funding History

Fiscal Year	Appropriation
1984	$75,000,000
1985	75,000,000
1986	71,760,000
1987	75,000,000
1988	71,805,000
1989	113,620,000
1990	113,189,000
1991	109,975,000
1992	110,000,000
1993	107,985,000
1994	107,985,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program supports local projects aimed at school desegregation and the creation or operation of high-quality educational programs. The program provides two-year competitive grants to LEAs for magnet schools that are intended to reduce, eliminate, or prevent minority group isolation in elementary and secondary schools and strengthen students' knowledge of academic or vocational subjects.

The Magnet Schools Assistance Program (MSAP) supports more than 400 magnet schools each year, about 16 percent of the nation's estimated 2,400 magnet schools. The number of magnet schools in general has more than doubled over the past decade, from about 1,000 in 1981-82 (II77I.3) to 2,400 in 1991-92 (III.1). Of districts receiving MSAP funding, 39 percent77 used that funding to start new magnet school programs, and an additional 39 percent used it to add new magnet schools to their programs (other districts used their MSAP grants for progr77am enhancement and improvement). Magnet school programs were more extensive in districts that received Federal funding, with 30 percent of schools in funded districts being ma77gnets, compared to 21 percent of schools in non-funded districts. Most MSAP grantees 77(87 percent) continue to maintain their magnet school programs, although with some reductions in teachers and supplies, after their Federal funding ended (III.1).

MSAP funds are targeted primarily to large urban school districts with high proportions of minority and low-income students. Large urban school districts enroll 25 percent of the nation's students, but they receive 82 percent of all MSAP funds. Predominantly minority districts (where more than 50 percent of students are minority) enroll 30 percent of all students but receive 76 percent of MSAP funds. High-poverty school districts (where more than 50 percent of students receive free or reduced price lunches) enroll 19 percent of all students but receive 53 percent of MSAP funds. Districts receiving MSAP funds are also more likely to be large urban, predominantly minority, and high-poverty districts than are magnet districts generally (III.1).

Services

MSAP-supported magnet schools offer a wide range of distinctive programs, including programs emphasizing academic subjects such as math, science, aerospace technology, language immersion, or humanities (38 percent); instructional approaches such as basic skills, open classrooms, individualized instruction, Montessori, or enriched curricula (25 percent); career/vocational education (15 percent); gifted and talented programs (11percent); and the arts (10 percent). MSAP-funded magnets were more likely than other magnets to offer subject-matter-oriented or career-vocational programs and less likely to provide programs focused on the arts, gifted and talented students, or a particular instructional approach (III.1).

MSAP-supported magnet schools were more likely to be whole-school dedicated magnets, where every student in the school has applied to participate in the magnet program (37 percent) than were non-funded magnets (25 percent); MSAP-funded magnet programs were less likely to be programs-within-schools (37 percent) than were other magnets (51 percent) (III.1). Critics have charged that some programs-within-schools may segregate students of different social, economic, ethnic, and racial backgrounds by keeping students in the magnet program separate from other students in the school; whole-school approaches may be more likely to maximize contact among all groups of students in the school.

School districts may use MSAP funds for 1) planning and promoting activities directly related to the expansion, continuation, or enhancement of academic programs and services offered at magnet schools; 2) purchasing books, materials, and equipment (including computers) and paying for the maintenance and operation of such equipment in magnet school programs that is necessary for the conduct of the magnet programs and directly related to improving the knowledge of math, science, history, English, foreign languages, art, or music, or improving vocational skills; and 3) paying the salaries of licensed or certified elementary and secondary school teachers in magnet schools.

The most frequently reported uses of MSAP funds were purchasing special equipment (100 percent of grantees) and special materials (97 percent), staff development (95 percent), hiring teachers (93 percent), outreach (85 percent), and planning (73 percent) (III.1).

MSAP-funded districts have more extensive outreach efforts designed to encourage and facilitate student participation in magnet programs than do other magnet districts. MSAP-funded districts are more likely to make group presentations, mail information to all parents in the district, and to provide transportation to enable students to tour the magnet schools (III.1).

Program Administration

Grants are awarded competitively to eligible applicants. Applicants not funded in the last fiscal year of the previous funding cycle are given priority in distributing funds in excess of $75 million. No LEA may receive more than $4 million annually. Grants may be funded for a second year, provided the grantee is making satisfactory progress towards achieving the purposes of the program.

In FY 1993, there were 57 awards to LEAs in 25 States. Grants ranged from $287,012 to $3,599,943 (III.2).

Outcomes

A 1983 study (III.3) indicated that magnet schools in general can provide high-quality education in urban school districts for average as well as high-ability students. They can also have a positive effect on desegregation at the district level and on integration at the school level.

A 1989 report (III.4) that synthesized research findings [including the 1983 study (III.3)] on educational outcomes of magnet schools in 12 large urban districts presented evidence that magnet high schools advance student learning. Studies comparing average test scores for magnet and nonmagnet schools showed that magnet schools were associated with improved student outcomes, when prior achievement and student background were taken into account. The strongest effects on achievement were in specific subjects and the size of the magnet effects vary by school and by grade (III.4).

III. SOURCES OF INFORMATION

1. Lauri Steel and Roger Levine, Education Innovation in Multiracial Contexts: The Growth of Magnet Schools in American Education, a report prepared for the U.S. Department of Education, Planning and Evaluation Service (Washington, DC: 1994).

2. Program files.

3. James Lowry and Associates, Survey of Magnet Schools: Analyzing a Model for Quality Integrated Education, a report prepared for the U.S. Department of Education, Office of Planning, Budget and Evaluation (Washington, DC: 1983)

4. Rolf K. Blank, "Educational Effects of Magnet High Schools," a draft published by the Wisconsin Center for Education Research, National Center on Effective Secondary Schools (Madison, WI: September 1989).

IV. PLANNED STUDIES

The Department of Education is conducting a national study of magnet schools and the Magnet Schools Assistance Program. The first report from the Magnet Schools Study provides descriptive information on: 1) the prevalence of magnet programs in American schools; 2) the characteristics of magnet programs; 3) how federally-supported magnet programs differ from other magnet programs; and 4) how magnet programs (intended to promote desegregation) compare to non-magnet specialty schools and school choice programs. Additional work will examine the outcomes of magnet school programs, potentially including effects on desegregation, school quality, and student achievement.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Sylvia Wright, (202) 260-3778
Program Studies	:	Stephanie Stullich, (202) 401-1958

EDUCATION FOR HOMELESS CHILDREN AND YOUTH
(CFDA No. 84.196)

I. PROGRAM PROFILE

Legislation: Title VII, Subtitle B of the Stewart B. McKinney Homeless Assistance Act, as amended (42 U.S.C. 11431 et seq.) (expires September 30, 1999).

Purpose: To provide formula grants to State education agencies (SEAs) to ensure that homeless children and youth have access to a free, appropriate public education. Funds are distributed to SEAs in the same proportions as under Part A of Chapter 1 of Title I of the Elementary and Secondary Education Act, except that no State receives less than $50,000, and 0.1 percent of the appropriation is allocated to the Outlying Areas. The Secretary is authorized to reserve up to 1 percent of the appropriation for the Bureau of Indian Affairs.

Funding History

Fiscal Year	Appropriation
1987	$4,600,000
1988	4,787,000
1989	4,834,000
1990	7,404,000
1991	7,313,000
1992	25,000,000
1993	24,800,000
1994	25,470,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The target population is homeless children and youth, especially those who may not be receiving a free, appropriate public education. Because the eligibility of preschoolers is unclear, the Department's reauthorization proposal encourages services to preschool children.

Services

This program provides assistance to States to: (1) establish or designate an Office of Coordinator of Education of Homeless Children and Youth; (2) prepare and carry out a State plan for the education of homeless children; (3) develop and implement programs for school personnel to heighten awareness of the specific problems of homeless children and youth; (4) provide activities for and services to homeless children and youth that enable them to enroll in, attend, and achieve success in school; and (5) award subgrants to local education agencies to facilitate the enrollment, attendance, and success of homeless children and youth in schools.

Program Administration

Each State may reserve up to 5 percent of its allocation, or an amount equal to its 1990 allocation, whichever is greater, to conduct authorized State-level activities. The remainder is awarded to local districts.

Management Improvement Strategies

An FY 1990 case study report describes 15 particularly promising or innovative education-related activities being conducted by projects that serve homeless children (III.1). In addition to illustrating promising practices, these case studies highlight ways in which schools and agencies are mobilizing existing community resources to support homeless students. All of these programs, in addition to providing educational instruction, are also working to address school access and placement issues, as well as working with other service providers to develop more comprehensive community service networks for homeless students and their families.

In FY 1991, the Department of Education (in consultation with the Departments of Health and Human Services, and Housing and Urban Development) contracted to conduct a study on methods of locating, counting, and identifying homeless children and youth--as required by Section 724(b)(2) of the McKinney Act. The final report of the study was sent to Congress on August 14, 1991. The report found that:

- A reanalysis of HUD and other available survey data would cost, at a minimum, $320,000. This option, however, would not yield valid information in the areas that Congress has requested.
- A "stand-alone" study to determine the aggregated count of homeless children and youth nationally would cost $2.06 to $2.44 million to conduct and only provide national figures.
- A "stand-alone" study to determine aggregate national data of homeless children and youth in each of the 50 states and in the 30 largest cities would cost $12.35 million. This would dwarf the $7 million 1991 budget for P.L. 101-645 programs related to homeless children and youth.

Based on the costs, the Secretary recommended that a further independent study not be pursued.

The report also contains a schedule for obtaining and analyzing the required data no sooner than

August 1994, which is more than one year later than the date set in the statute. However, the Congress did not appropriate additional FY 1992 funds for the authorized study.

III. SOURCES OF INFORMATION

1. Education and Community Support for Homeless Children and Youth: Profiles of 15 Innovative and Promising Approaches (Washington, DC: U.S. Department of Education, 1990).

2. Program files.

3. Urban Institute, Alternative Methods to Estimate the Number of Homeless Children and Youth (Washington, DC: U.S. Department of Education, 1991).

IV. PLANNED STUDIES

The Department has begun a study of the program, and a report is due early 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Pat McKee, (202) 260-0991

Program Studies : Joanne Wiggins, (202) 401-1958

SCHOOL DROPOUT DEMONSTRATION ASSISTANCE PROGRAM
(CFDA No. 84.201)

I. PROGRAM PROFILE

Legislation: The Elementary and Secondary Act of 1965, as amended, Title VI, Parts A and C (20 U.S.C. 3241 et seq.)(expires September 30, 1999).

Purpose: To reduce the number of children who do not complete their elementary and secondary education by providing Federal assistance to local education agencies (LEAs), community-based organizations, and education partnerships.

Funding History

Fiscal Year	Appropriation
1988	$23,935,000
1989	21,736,000
1990	19,945,000
1991	34,064,000
1992	40,000,000
1993	37,530,000
1994	37,730,000

II. PROGRAM INFORMATION AND ANALYSIS

The projects are designed to establish and demonstrate (1) effective programs to identify potential student dropouts and prevent them from dropping out; (2) effective programs to identify and encourage children who have already dropped out to reenter school and complete their elementary and secondary education; (3) effective programs for early intervention designed to identify at-risk students at the elementary and early secondary school levels; and (4) model systems for collecting and reporting information to local school officials on the number, ages, and grade levels of children not completing their elementary and secondary education and reasons why they have dropped out of school.

Services

Most of the dropout prevention projects awarded in FY 1991 for up to a 4-period fall into one of two models: (1) restructuring and reform projects that affect a cluster of schools (a high school and its feeder middle and elementary schools); or (2) targeted programs for at-risk youth, which include such approaches as special programs for at-risk youth in regular schools,

"schools within schools," and alternative schools. Grantees in each of these two categories are demonstrating programs that include a set of components specified by the Department of Education and are widely believed to be central to effective interventions.

The Planning and Evaluation Service conducted a survey of project directors of the grants awarded in FY 1991. The survey collected information on the context of the demonstration project, program services during the 1991-92 school year, project resources and staffing (III.1).

o As Table 1 based on survey findings shows, counseling and parent involvement activities were reported to be the most frequently implemented elements for both targeted and field-initiated projects.

Table 1.
Elements Implemented by Dropout Demonstration Projects, by Project Type[1]

	Targeted (N=48)		Restructuring (N=7)		Field-Initiated (N=8)	
Element	Number	%	Number	%	Number	%
Parent involvement	28	58	6	86	7	88
Counseling	32	67	--	--	8	100
Social services	27	56	3	43	3	38
Challenging curriculum	26	54	7	100	0	0
Attendance monitoring	25	52	4	57	1	13
Community partnerships	23	48	--	--	4	50
Career awareness	23	48	--	--	3	38
Linkages among schools	12	25	6	86	2	25
School climate	--	--	7	100	4	50
Staff development	--	--	7	100	2	25
School automomy	--	--	4	57	1	13
Alternative to retention	--	--	3	43	1	13

[1] Shaded areas indicate required components

--Generally, projects hired one or more counselors to work with students who face personal, social, or emotional problems that interfere with schooling. The most common type of counseling is individual counseling, offered by 23 projects, followed by group counseling in 15 projects, and family counseling in 9 projects. Six projects offer counseling specifically for drug and alcohol abusers, and counselors in two projects specialized in tracking down dropouts and encouraging them to return to school.

o All of the restructuring projects reported developing of new curricula, train staff, and conduct activities intended to improve school climate.

--Most restructuring projects supported regular in-service training during the first grant year revolving around the implementation of a specific practice or component. One restructuring project created six full-time staff development positions (one for each school) to help teachers make the transition from traditional methods of instruction to thematic instruction and interdisciplinary teaming.

Program Administration

In FY 1993, the Department made 86 continuation awards under this program. Of these, 21 were for field-initiated grants in FY 1992 and 65 were for projects initially funded in FY 1991. By statute, funding was limited to applicants (1) proposing to replicate successful programs conducted in other local education agencies or to expand successful programs within a local education agency, and (2) having a very high number or high percentage of school dropouts. The Federal share of grants under this program was a maximum of 90 percent of a project's cost in the first year and 75 percent in following years.

Among the 65 grants awarded in FY 1991 for up to a 4-year period:

o Sixty-one percent were awarded to local education agencies; 11 percent to community-based organizations; and 28 percent to partnerships between a school district and community-based organizations, institutions of higher education, or local education agencies.

o The demonstration projects are widely distributed across the U.S.. Thirty States and the District of Columbia have at least one grantee. The only large, contiguous part of the country that did not receive grants is the North Central region, which has the lowest dropout rates.

o Areas with the most serious dropout problem have tended to be large urban districts and isolated rural areas. Nearly two-thirds of the project are located in or near cities with a population of more than 150,000, while almost one-third are located in isolated rural areas.

- On average, the cities and counties served by the demonstration projects have higher dropout rates than either the national average or the States where they are located.

Outcomes

In September 1988, under a separate competition, 89 projects across the U.S. were awarded 2-year grants, which were later extended to a third year, under the School Dropout Demonstration Assistance Program. To assess the effectiveness of the dropout prevention strategies that these projects used, the Department of Education funded an evaluation that began in the second year of the program. The evaluation included an in-depth study of activities and outcomes at 15 sites. The major criteria for selection were the intensity of services provided and the availability of a large enough student sample for analysis. The in-depth evaluation included site observations and collection of background information and outcomes from samples of program participants and a comparison group. Copies of the final report may be obtained from the Planning and Evaluation Service, U.S. Department of Education. The major findings of the evaluation are (III.2):

Organizational Characteristics

- The more complex the organizational structure of a dropout prevention initiative (i.e., the greater the tendency toward restructuring or non-school-based coordination of services), the longer the time period likely to be required for start-up and the less likely there will be evidence of gains for students in the short-term.

- Coordination of services has the potential to increase the services that are available, but such efforts require joint planning and review sessions to be successful, and they may require increased funding to maintain project efforts.

- Providing an array of complementary services (i.e., comprehensive services) may be the most effective way of meeting the needs of students at risk of school failure.

Effective Dropout Prevention Strategies

- Counseling services and adult advocacy for students are key elements of any particular dropout prevention initiative.

- At the elementary level, providing after-school tutoring and enrichment and having in-class adult friends (e.g., trained volunteers or helpers) appear to be effective approaches.

- o At the middle level, team teaching strategies, flexible scheduling, and provision of as-needed counseling assistance are especially useful strategies.

- o At the secondary level, paid work, embedded in activities that prepare and monitor students' on-the-job experiences, appears to be a critical component to keeping students in school.

- o In programs where dropout recovery is an emphasis, flexible class schedules assist students who need to work or meet personal commitments during regular school hours.

III. SOURCES OF INFORMATION

1. Program files.

2. Evaluation of Projects Funded by the School Dropout Demonstration Assistance Program, Final Report for 1989-90 In-Depth Evaluation of 15 Projects (Palo Alto, CA: American Institutes for Research, forthcoming).

3. The National Evaluation of the School Dropout Demonstration Assistance Program: 1991 Grantees Descriptive Report (Washington, DC: Policy Studies Associates, Inc., unpublished report).

IV. PLANNED STUDIES

The Planning and Evaluation Service, in cooperation with the Office of Elementary and Secondary Education, is conducting an assessment of the projects funded under this program in FY 1991 and FY 1992 in order to evaluate their effectiveness in high school dropout prevention and reentry. A descriptive survey of project directors of the grants awarded in FY 1991 collected information on the context of the demonstration project, program services during the 1991-92 school year, project resources, and staffing. A report on the findings of that survey is scheduled to be released in 1994 (III.3). Projects awarded in FY 1992 will complete the survey based on operations during the 1992-93 school year.

An in-depth evaluation is being conducted in 23 of the 65 projects funded in FY 1991. Five school-wide restructuring projects and 18 targeted projects at the middle and high school level were chosen during the 1991-92 school year based on site visits to the projects. These site visits were conducted to confirm program implementation and feasibility of conducting a random assignment evaluation in targeted projects or a matched comparison evaluation in restructuring projects.

- o Site visits were conducted in the fall and spring of the 1992-93 school year and the fall of 1993 to observe program characteristics and practices as actually implemented, including problems that were encountered, solutions that were attempted, successes with program implementation, and factors that facilitated those successes. A report on the implementation of the demonstration projects is scheduled to be released in 1994. A series of topical reports on factors affecting design and implementation of dropout prevention interventions will be available in the spring of 1995 and 1996.

- Surveys of teachers and parents are being conducted in school-wide restructuring projects in the spring of 1993 and 1994. The teacher surveys collect information on school governance and teacher training which is a major activity in restructuring efforts. The parent survey will collect information on parents' educational background, attitudes toward school in general, attitudes toward the school their children attend, involvement in school activities, participation in program services, and expectations for children's academic performance and high school graduation.

- Beginning in the 1992-93 school year, samples of students enrolled in school-wide restructuring projects and samples of students enrolled in comparison schools were selected. Applicants to targeted projects were randomly assigned to either participate in the program or to serve as a control group. Information on program students and control/comparison groups is being collected through surveys and from school records. A final report on program impacts on student outcomes including cost effectiveness is scheduled for February 1996.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John Fiegel, (202) 260-2671

Program Studies : Audrey Pendleton, (202) 401-3630

FOREIGN LANGUAGES ASSISTANCE
(CFDA No. 84.249)

I. PROGRAM PROFILE

Legislation: Title II, Part B of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 3001-3006) (expires September 30, 1994).

Purpose: The Foreign Languages Assistance program, funded for the first time in 1991, provides assistance to State education agencies (SEAs) to improve the quantity and quality of instruction in foreign languages deemed critical to the economic and security interests of the United States.

Funding History

Fiscal Year	Appropriation
1991	$ 4,880,000
1992	10,000,000
1993	10,912,000
1994	10,912,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program is available to all States, the District of Columbia, Puerto Rico, and the Outlying Areas. Funds are distributed on the basis of the population of children ages 5-17; however, no State receives less than 0.5 percent of this remainder. From the total amount appropriated, one percent is allotted to the Outlying Areas.

Services

To receive a grant, each State must submit an application detailing model programs to be funded. Projects are administered by local education agencies (LEAs) and are selected competitively at the State level. Model programs must be in any of five critical foreign languages: Chinese, Japanese, Russian, Arabic, and Korean. However, if a State can satisfactorily demonstrate that it lacks the capability to fund projects in any of those five languages, and would thus be unable to participate in the program, the Secretary may grant a waiver allowing the State to support projects in one or more of the following alternate languages: French, German, Italian, Portuguese, and Spanish.

Program Administration

A 50 percent matching requirement must be met from non-Federal public or private sources at either the State or local level. If sufficient hardship is demonstrated, the Secretary may issue a waiver of the matching requirement. LEAs must conduct valid and reliable periodic evaluations of their programs.

This is a forward-funded program. Funds are available for obligation from July 1 of the fiscal year for which they are appropriated through September 30 of the following year.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Doris Crudup, (202) 260-2521

Program Studies : Brenda Long, (202) 401-1958

OFFICE OF BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS

BILINGUAL EDUCATION PROGRAMS--
DISCRETIONARY GRANTS TO LOCAL EDUCATION AGENCIES--PART A
(CFDA No. 84.003)

I. PROGRAM PROFILE

Legislation: The Bilingual Education Act of 1984, (Title VII of the E.S.E.A., as amended (20 U.S.C. 3291-3292) (expires September 30, 1999).

Purpose: To assist local education agencies (LEAs) and other eligible grantees in the development and support of instructional programs for students with limited English proficiency (LEP). By statute, Part A programs are to receive at least 60 percent of Bilingual Education Act funds.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$7,500,000	1986	$91,010,000
1970	21,250,000	1987	99,161,000
1975	53,370,000	1988	101,198,000
1980	115,863,00	1989	110,761,000
1981	107,017,00	1990	115,779,000
1982	86,579,000	1991	121,038,000
1983	86,526,000	1992	147,407,000
1984	89,567,000	1993	149,696,000
1985	95,099,000	1994	152,728,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

"Prospects," a national longitudinal study of elementary and secondary education, in its interim report (III.1) finds that:

- Students classified as LEP comprise 7 percent of the first grade cohort, about 6 percent of the third grade cohort, and about 3 percent of the seventh grade cohort.
- LEP students are disproportionately represented in schools with high concentrations of poor children. The proportion of LEP first grade-students in high poverty schools (21.6 percent) is three times the proportion found in low-poverty schools (7.2 percent). In urban communities, 30 percent of students are from minority language backgrounds, and one in seven students is classified LEP. LEP students are disproportionately represented in

schools with high concentrations of poor children. In first and third grades, LEP students are about three to six times more likely to be found in high poverty schools than in low poverty schools. In first grade, the percentage of LEP students in high poverty schools (22 percent) is many times the proportion in low poverty schools (2 percent).

- In the first grade, 20 percent of Chapter 1 LEP students received Chapter 1 English as a Second Language or Bilingual Education services, and about 16 percent received other Federally funded language services. In third grade, about 10 percent of LEP students were receiving Chapter 1 ESL/BE and 4 percent were identified as receiving other federally supported assistance.

- Availability of language services varies with concentration of LEP students within the school. For example, for seventh graders, 58 percent of the LEP children in low concentration schools receive language services from some source; however, where the LEP student concentration is 25 percent or higher, nearly 90 percent of LEP children receive some language services.

- LEP students are disproportionately represented among low achievers. LEP students were more than three times as likely to be low achievers than high achievers. Among students who score below the 35th percentile on nationally normed achievement tests, about 13 percent of the first and third grade cohorts and about 6 percent of the lowest achievers in the seventh grade cohort are classified as LEP. Less than 3 percent of high achieving first graders were LEP, and the proportion was lower for the third and seventh grades.

- In elementary grades, about 40 percent of the language minority children are also LEP and need language services. By the middle school grades, the proportion of LEP students among language minority students drops to about one quarter.

An estimated 349,500 students were served in projects funded under Title VII Part A in 1993 (III.2). The number of LEP students in grades K-12 in the fall 1991 was 2,314,000 according to projections from a survey of school districts. This was an increase of almost 1 million LEP students in grades K-12 from the estimate in the 1984 Descriptive Study. Approximately 6,400 of the 15,000 school districts in the country had LEP students enrolled. Among districts serving LEP students, 24 percent had nine or less LEP students, but 8 percent served a thousand or more LEP students, and 6 percent of the districts served a student population which was at least 40 percent LEP (III.3).

73 percent of LEP students speak Spanish. The next largest language groups were Vietnamese (3.9 percent), Hmong (1.8 percent), Cantonese (1.7 percent), Cambodian (1.6 percent), and Korean (1.6 percent). LEP students whose native language was a Native American language represented 2.5 percent of all LEP students in the U.S. (III.3).

Title VII Part A grants for capacity building serves approximately 15 percent of the 2.3 million students identified by States as LEP (III.3).

The choice of measures significantly affects the number of students formerly identified as limited English proficient. A study of student selection procedures found that, when a student speaks some English, different oral language proficiency tests often disagree as to whether the student should be classified as LEP. Classification of such students as LEP depends on what test is used and how high or low a local district or State chooses to set cut-off scores for selection into or exit from the program (III.12).

Services

Discretionary grants are awarded to develop and conduct the following types of programs:

- Transitional Bilingual Education. A program designed to provide structured English language instruction and, to the extent necessary to allow a LEP child to achieve competence in English, instruction in the native language, and incorporate the cultural heritage of the child and other children in American society. Such instruction must, to the extent necessary, be in all courses or subjects of study to allow students to meet grade promotion and graduation requirements.

- Developmental Bilingual Education. A full-time program designed to provide structured English language instruction and instruction in a non English language in order to help students achieve competence both in English and in a second language while mastering subject-matter skills. The instruction must be, to the extent necessary, in all courses or subjects of study to allow a child to meet grade promotion and graduation requirements. Where possible, classes must be composed of approximately equal numbers of students whose native language is English and LEP students whose native language is the second language of instruction.

- Special Alternative Instruction. A program designed to provide structured English-language instruction and special instructional services that will allow a LEP child to achieve competence in the English language and to meet grade promotion and graduation standards. These programs are neither transitional nor developmental but have specially designed curricula and are appropriate for the particular linguistic and instructional needs of the children enrolled. Native language instruction is neither required nor prohibited.

- Academic Excellence. A program designed to facilitate the dissemination of effective bilingual practices of transitional or developmental bilingual education or special alternative instruction projects that have an established record of providing effective, academically excellent instruction and are designed to serve as models of exemplary programs.

- Family English Literacy. A program of instruction to help LEP adults and out-of-school youth achieve competence in English; the subject matter may be taught either entirely in English or in English and the native language. To the extent feasible, preference for participation is given to parents and immediate family members of students enrolled in other programs assisted under the Bilingual Education Act.

- Special Populations. Programs of instruction for LEP students in preschool, special education, and gifted and talented programs which are designed to be preparatory or supplementary to programs such as those assisted under the Act.

FY 1993 Grant Awards

Program Type	Number of Projects Funded	Funding
Transitional Bilingual Education	588	$86,259,000
Developmental Bilingual Education	44	7,064,000
Special Alternative Instruction	317	37,419,000
Academic Excellence	19	3,715,000
Family English Literacy	51	6,997,000
Special Populations	47	8,242,000
TOTAL	1,066	$149,696,000

Program Administration

Assistance provided under Title VII should contribute to building the capacity of a grantee to continue or expand services to LEP students after Federal funding is reduced or no longer available. The capacity of local projects to do so, however, is affected by the absence of Title VII funding. Of the 54 Family English Literacy projects studied, 15 projects reported they would continue with school district funding, 9 with State funding, 4 with other Federal funding, 2 with foundation and private funding, and 2 with city funding. The remaining 22 projects would not continue if no other source of funding was found (III.4). Preschool projects that received full funding from the Special Populations component seemed less likely to be able to continue than those for which Title VII funding was supplementary (III.9).

Outcomes

Part A projects include support for staff development. The higher the concentration of LEP students, the more likely the State, district and school are to provide special services to LEP students. While 15 percent of public school teachers serve LEP students at any particular time, many have little training in the education of limited English proficient students. Schools also report difficulty recruiting teachers with specialized credentials for working with LEP students. In 1991, 80 percent of the nation's districts reported "some" or "a lot" of difficulty recruiting bilingual teachers and 53 percent reported difficulty recruiting ESL teachers. Among teachers of LEP students, 10 percent were certified in bilingual education and 8% in English as a Second Language. Less than half (42 percent) of teachers of LEP students spoke a non-English language that was the language of one or more of their students (III.3).

Parent involvement is another key to improving education outcomes (III.13). A study of the Family English Literacy program found that both participants and project directors reported that the most important achievements were improved English proficiency, literacy, and parenting skills, and greater involvement in their children's education (III.8). There is significant demand for family English literacy. A study of 54 Family English Literacy Program projects funded from 1985 to 1989 (III.4) found the following:

- Projects found that projects dedicated 50 percent of their time to English literacy instruction. The remainder was dedicated to either native language literacy, parent education and training, parent/child activities, and pre-employment skills.

- Projects served a greater number of mothers than any other identified group; mothers were 5 times more likely to participate alone than fathers or both parents.

- About a third of the projects reported waiting lists for participants, with an average of 55 people waiting to enroll in the projects and a waiting period of four months.

- 82 percent of participants were born outside the U.S., 49 percent had lived in the U.S. 5 years or less.

An evaluation of the **preschool** component of the Special Populations Program (III.9) found that:

- The projects were diverse in philosophy and practice of bilingual education. Some projects provided instruction predominantly in English, some predominantly in the native language, and others placed equal emphasis on both languages.

- There was a difference in the degree to which projects were developmentally appropriate for preschool children. Those less appropriate offered predominantly teacher-directed activities and focused on cognitive and language skills. Those more appropriate allowed children to direct their own learning and progress at their own pace; these programs were concerned with the development of the "whole child," rather than only the child's intellectual/language skills.

- All projects offered services for children above and beyond classroom activities, such as parent training, family counseling, transportation, meals and snacks, health services, and social service referrals.

- In most projects, the ethnicity of the staff matched that of the children and some, if not all, of the staff spoke the language of the children.

- Students in each project were observed to gain some skill in English. Many began the year with no knowledge of English and gained rudimentary skill.

- On a scale from 1 to 5, with 1 and 2 representing "non-English speaker" and 3 "limited-English speaker," projects' average scores at the end of the year ranged from 1.8 to 3.1. However, because of the questionable validity of assessing students at this young age, interpretation of these test scores may be problematic at best.

- Kindergarten and first-grade teachers reported project participants to be ahead of children who had not attended preschool in the wide range of cognitive, social/emotional, and motor skills needed by elementary school students.

A special study of **American Indian** students in a sample of 11 public and tribal schools receiving Title VII funds found that the major portion of the overall instruction these students received was in English language arts: approximately 58 percent of the weekly hours received by the second graders and 47 percent of the hours received by fourth graders. About 71 percent of the second graders received special instruction in English; about 43 percent of the fourth graders received such instruction. Overall, the students received less than two hours a week in the language arts of the Indian language. These students scored substantially below the national norm on standardized achievement tests. On a nonverbal aptitude test, however, they scored at about the national norm, indicating that schools are not tapping their potential (III.7).

A study of exemplary **Special Alternative Instructional Programs** identified the following common themes in instructional design and practice at nine exemplary sites: alignment of the curriculum with mainstream instruction programs; effective program staffing; peer teaching; native language support; parental involvement; and use of local resources (III.8).

The 6 year study of three **bilingual education instructional approaches** looked at immersion, early-exit and late-exit programs for Spanish-speaking students, and found the following (III.5):

- A passive learning environment characterizes classrooms across all programs, limiting opportunities to produce and develop language. Students produce language only when directly working with a teacher and then only in response to teacher initiations. Teacher questions are typically low-level requests for simple information recall.

- Bilingual teachers vary across the three approaches with respect to their language proficiency and bilingual training. Late-exit teachers are more proficient in the students' native language and have advanced bilingual training. By contrast, immersion and early-exit teachers are not sufficiently proficient in the native language to teach it, and do not have as much advanced training.

- While the majority of parents in all three approaches report that they read to their children in Spanish or English, more late-exit and early-exit parents than immersion-strategy parents help with or monitor their children's homework, suggesting a relationship between the use of the native language in instruction, parental involvement in homework and student achievement.

- It typically takes 5 to 7 years to develop the full English language proficiency required for high performance in academic settings. Contrary to common expectations, the amount of time LEP students remain in immersion strategy, early-exit, and late-exit programs is about the same. Both immersion and early-exit programs call for mainstreaming within 2 or 3 years. However, this study found that, in practice, over two-thirds of the students in the immersion strategy and over three-fourths of the early-exit students are not mainstreamed after 4 years in their respective programs.

- After 4 years in their respective programs, immersion and early-exit students demonstrated comparable skills in mathematics, language and reading when tested in English.

- Among the three late-exit sites, students in the two sites that used the most Spanish posted higher growth in mathematics skills than the site which abruptly shifted into almost all-English instruction.

- Students in all three bilingual education programs realized growth in English language and reading skills that was as fast or faster than the norming population. A higher percentage of late-exit students (about one-third) are reclassified from LEP to fully English proficient (FEP) than are students in either immersion strategy (22 percent) or early-exit (19 percent) programs.

In October of 1990, the Department of Education requested the National Academy of Sciences (NAS) to review two major, multi-year evaluation studies of bilingual education, the National Longitudinal Study of the Effectiveness of Instruction of LEP Students, and the Longitudinal Study of Structured English Immersion Strategy, Early-Exit and Late-Exit Transitional Bilingual Education Programs for Language-Minority Children. The NAS was asked to review the methodology employed by each study, to assess whether additional analyses of the data would be productive, and to provide the Department with advice on conducting such studies in the future (III.6). The panel found the following:

- Because of the poor articulation of study goals and the lack of fit between the discernible goals and the research design, it is unlikely that additional statistical analyses of these data will yield results central to the policy questions to which these studies were originally addressed. Both the studies suffered from excessive attention to the use of elaborate statistical methods intended to overcome the shortcomings in the research designs. The absence of clear findings in the studies that distinguish among the effects of treatments and programs relating to bilingual education does not warrant conclusions based simply on these two studies regarding differences in program effects.

- The National Longitudinal Study found evidence that positive outcomes of "late-exit" bilingual programs, which provided at least 40 percent of instruction in native language through grade 6, grew "faster than the norming population" (p. 39). The NAS determined that because of the study's inability to control for school-district variables, statistical comparisons were invalid between late-exit programs on the one hand and early-exit or structured immersion programs on the other. Nevertheless, the NAS concluded that the report's findings regarding native-language development were "consistent with empirical results from other studies and support[ive of] the theory underlying ... bilingual education."

- The main recommendation of the NAS for future efforts to evaluate programs of instruction is to avoid overly ambitious large-scale studies implemented in broad national populations, and to concentrate instead on smaller-scale comparative studies of different programs as they apply to different communities. The NAS recommended carefully specified designs in which the federal government defines treatments and tests these treatments through randomized assignment.

In its review of research on educating LEP students, the Stanford Working Group notes that researchers have reported increasingly favorable outcomes in programs that stress native-language development. For example, a 6 year project of the California Department of Education, entitled "Case Studies in Bilingual Education", reports favorable outcomes from programs (III.15). The Organization for Economic Cooperation and Development (OECD) Centre for Educational Research and Innovation, examines such programs in industrialized nations, Education and Cultural and Linguistic Pluralism: Synthesis of Case Studies--Effective Strategies and Approaches in the Schools (III.16).

Dissemination of best practice is a key to improving the effectiveness of programs serving LEP students. A study of The Title VII Academic Excellence Program: Disseminating Effective Programs and Practices in Bilingual Education (III.11) conducted file reviews and telephone interviews of 9 original grantees that had been selected to disseminate quality bilingual programs, and 147 adoption sites/schools. The study found the following:

- Program practices of the original 9 sites in 7 states have been disseminated to an estimated 147 sites in 16 states. The number of adoptions ranged from 6 to 34 per original site. 46 percent of the sites reported the adopted program had been integrated into the regular program and 47 percent reported that it had been adopted as a supplement to the regular program. In 60 percent of the adoptions, substantive modifications in the original program had been made.

- While sites share generic stages of dissemination and replication (materials development, outreach/awareness, adoption decisionmaking, adoption site personnel training, assistance with implementation, monitoring, and evaluation), there is great variation across the sites in the actual activities.

- One-third of the sites have no data on the effects of the adopted programs on student achievement. Only 14 percent of adoption sites compared student achievement data to that collected by original sites. States varied widely in their exemplary program validation process, with California being the most comprehensive. Texas and Arizona had validation processes developed in response to the Federal Title VII program. Florida, Pennsylvania, and Puerto Rico had no set criteria for validation of exemplary bilingual programs.

- Adoption sites report that the program had positive impacts on teachers' ability to meet student needs (54 percent), on student achievement (70 percent), oral language proficiency (63 percent), written language fluency (62 percent), and student self-esteem (60 percent).

Program evaluation can be a key element in continuous program improvement. A study of the Title VII evaluation systems titled Serving Different Masters: Title VII Evaluation Practice and Policy found that the purposes and audiences of Title VII evaluations have not been clearly articulated by the U.S. Department of Education, their linkage to local Title VII projects and evaluation priorities have not been clear (III.17).

- The study finds confusion over the role of the Office of Bilingual Education and Minority Languages Affairs (OBEMLA) and Grants and Contracts Service in monitoring receipt of evaluation reports, and the timing of evaluations and report deadlines have not allowed their use in the grant renewal application process.

- Title VII evaluation reports were rarely, if ever used in assessing Title VII at either the project or program level. The poor quality of the data collected by many projects hinders evaluations and their use. Due to limited funding, evaluations typically focus on outcomes, providing little information on how to improve the implementation process.

- The study found that given the amount of funds being spent on the average Title VII evaluation, the requirements for evaluation reports in present Title VII regulations are unrealistic. In general the quality of Title VII evaluation reports was described as poor to adequate.

- The Evaluation Assistance Centers were found to provide useful services to many Title VII projects and to have contributed to improved research designs of Title VII projects, but to help further improve project evaluations, the breadth of EAC services could be broader and their mandate could be broadened to include review of evaluation reports. The Bilingual Education Evaluation System (BEES) was found to be useful for evaluators but too technical for project directors.

- Generally evaluation research designs were found to have improved from those conducted in the early 1980s.

Improvement Strategies

Program Monitoring: Through on-going training meetings for staff, and Management Training Institutes for Title VII State and project directors, OBEMLA has attempted to keep participants abreast of current research in the field, improved project monitoring activities, and strengthened program administration capabilities.

Program Evaluation: A number of studies in recent years have pointed to challenges in the evaluation of Title VII programs that are faced by OBEMLA. Local project staff have asked the Department to provide more explicit evaluation requirements, eliminate ones deemed excessive, and provide more assistance in meeting those requirements. State and local education personnel have commented on the limited coverage provided by the two Evaluation Assistance Centers, given their current level of staff resources. Finally, there exists wide variability in the completeness and quality of evaluation plans and reports provided by local grantees. The program office developed a number of initiatives to improve the receipt, review and use of grantee evaluation reports.

Legislation proposed by the Administration for reauthorization of Title VII strengthens through Part A the focus on increasing local capacity to develop and enhance high-quality services to LEP students to help them attaining challenging state standards, by refocusing and restructuring federal support for bilingual education. Three discretionary grant categories (except for the Academic Excellence dissemination program, moved to Part B) replace the six current Part A grant programs: (1) two year Enhancement grants to develop state and locally funded programs or to initiate new programs; (2) five year Comprehensive School grants to develop and implement school-wide bilingual programs; and (3) five-year Comprehensive District grants to LEAs to develop and implement district-wide programs that serve all or most LEP students. All three programs may include services to parents of LEP students, tutorials and academic or career counseling and acquisition of materials, software, and technologies specifically designed for LEP children. All applicants must describe how the Title VII grant is consistent with any systemic reform plan and Title I plan.

The new grants would ensure that bilingual programs are not isolated from the overall school program, emphasize comprehensive reform, and build local capacity to serve LEP students. The proposal also simplifies program administration and provides LEAs with additional flexibility to design programs that meet local needs. A significantly expanded role for SEAs is integral to this change.

III. SOURCES OF INFORMATION

1. Prospects: The Congressionally Mandated Study of Educational Growth and Opportunity, the Interim Report. (Washington, D.C.: Prepared for Office of the Under Secretary, U.S. Department of Education by Abt Associates, Inc, by Michael J. Puma, Calvin C. Jones, Donald Rock and Roberto Fernandez, 1993.)

2. Program files.

3. Fleischman, Howard L. and Paul J. Hopstock. Descriptive Study of Services to Limited English Proficient Students: Volume 1, Summary of Findings and Conclusions (Washington D.C.: Development Associates, Inc., Prepared for Office of the Under Secretary, Education Department, 1993).

4. Gunderson, D., et al., Descriptive Study of the Family English Literacy Program (Reston, VA: Atlantic Resources Corporation, 1991).

5. Ramirez, D., et al., Longitudinal Study of Structured English Immersion Strategy, Early-Exit and Late-Exit Transitional Bilingual Education Programs for Language-Minority Children, Volumes I and II. (San Mateo, CA: Aguirre International, February 1991).

6. Michael M. Meyer and Stephen E. Fienberg, Editors. Assessing Evaluation Studies: The Case of Bilingual Education Strategies, National Research Council of the National Academy of Sciences, Washington, D.C.: National Academy Press, 1992.

7. Academic Performance of Limited-English-Proficient Indian Elementary Students in Reservation Schools (Arlington, VA: Development Associates, Inc., 1988).

8. Tikunoff, W. J., et al., A Descriptive Study of Significant Features of the Exemplary Special Alternative Instructional Program (Los Alamitos, CA: SouthWest Regional Educational Laboratory, 1991).

9. Brush, L., et al., Descriptive Evaluation of the Preschool Special Populations Program (Washington, D.C.: Pelavin Associates, Inc., 1992).

10. Bateman, Peter, Jill Hensley, Lynne Adduci, June Sivilli, Kathy Zantal-Wiener. New Land, New Knowledge: An Evaluation of Two Education Programs Serving Refugee and Immigrant Students (Washington, D.C.: Prepared for Office of the Under Secretary, U.S. Department of Education by Cosmos Corporation, 1993.)

11. The Title VII Academic Excellence Program: Disseminating Effective Programs and Practices in Bilingual Education (Washington, D.C.: Prepared for the Office of the Under Secretary, U.S. Department of Education by Policy Studies Associates, Inc. and SRI International, 1994.)

12. Pelavin, S., et al., Selection Procedures for Identifying Students in Need of Language Services (Washington, DC: Pelavin Associates, Inc., 1988).

13. Model Strategies in Bilingual Education: Family Literacy and Parent Involvement (Washington, D.C.: Prepared for the Office of the Under Secretary, U.S. Department of Education by Policy Studies Associates, Inc., 1993).

14. Burkheimer, Jr. G.J., et al. The National Longitudinal Study of the Effectiveness of Instruction of LEP Students, Research Triangle Park, NC: Research Triangle Institute, 1990.

15. Federal Education Programs for Limited-English Proficient Students: A Blueprint for the Second Generation. Report of the Stanford Working Group. (Stanford, California: Kenji Hakuta, Chair, Stanford Working Group, Stanford University, 1993).

16. Organization for Economic Cooperation and Development (OECD), Centre for Educational Research and Innovation. Education and Culture and Linguistic Pluralism: Synthesis of Case Studies -- Effective Strategies and Approaches in the Schools. (Paris, France, Oct. 14, 1991.

17. Serving Different Masters: Title VII Evaluation Practice and Policy, Volume 1 -- Final Report. (Washington, D.C.: Prepared for the Office of the Under Secretary by Abt Associates, Inc., 1993).

IV. PLANNED STUDIES

No studies scheduled at this time.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	John Ovard, (202) 205-5576--Academic Excellence, Special Populations, and Family English Literacy Programs, OBEMLA
Program Studies :	Dang Pham, (202) 205-5463 -- Research and Evaluation, OBEMLA
	Jeffery Rodamar, (202) 401-1958, Office of the Under Secretary

BILINGUAL EDUCATION PROGRAMS--DATA COLLECTION, EVALUATION, AND RESEARCH--PART B
(CFDA No. 84.194)

I. PROGRAM PROFILE

Legislation: Part B of the Bilingual Education Act of 1988, Title VII of the Elementary and Secondary Education Act, as amended, (20 U.S.C. 3301-3307) (expires September 30, 1999).

Purposes: To support: (1) the collection of data on the number of limited English proficient (LEP) persons, the educational services available to them and educational outcomes achieved; (2) the evaluation of Title VII program operations and effectiveness; (3) research to improve the effectiveness of bilingual education programs; and (4) the collection, analysis, and dissemination of data and information on bilingual education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1975	$7,830,000	1987	$10,370,000
1980	20,775,000	1988	9,928,000
1981	18,375,000	1989	10,772,000
1982	18,957,000	1990	10,838,000
1983	16,557,000	1991	11,632,000
1984	13,502,000	1992	12,000,000
1985	10,600,000	1993	10,879,000
1986	$9,991,000	1994	12,004,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting and Services

Population targeting and related services are presented in the discussion of Part A and Part C of Title VII.

Contracts and grants are made under Part B to support the following activities:

- State Program grants are awarded to State education agencies (SEAs) to provide them assistance to collect, analyze, and report data on the LEP population and the educational services provided or available to that population. The State program grants may also be used to provide technical assistance to, and coordination with, bilingual education projects in the State. In FY 1991, the Department of Education awarded 54 State program grants (III.1).

- Evaluation Assistance Centers (EACs) are supported by grants to institutions of higher education (IHEs) in order to provide technical assistance to SEAs or local education agencies (LEAs) in techniques for assessing the educational progress achieved through programs such as those assisted under the Act and for identifying the educational needs and competencies of LEP students. Two Evaluation Assistance Centers were funded in FY 1991 (III.1).

- The National Clearinghouse on Bilingual Education collects, analyzes, and disseminates information on bilingual education and related programs.

- The Bilingual Research and Evaluation Program supports a number of studies to examine and improve the operations and effectiveness of bilingual education programs and practices. Several major research and evaluation studies funded under Part B were completed in FY 1992 including studies of the Special Alternative Instructional Program, the Family English Literacy Program, and the Special Populations Program (III.2, 3, and 4). In addition, the Innovative Approaches Research Project developed and studied model projects in science education, special education, dropout prevention and literacy. These model projects make use of common approaches, including cooperative learning techniques and culturally relevant instructional techniques (III.5). Part B funds have also supported national conferences on evaluation and measurement for LEP students, and supported collection of data on LEP students in national studies such as the National Education Longitudinal Study and "Prospects," the national longitudinal study of Chapter 1. Findings from Part B-supported studies and relevant citations are noted in Chapters 201 and 203.

Program Administration

Outcomes

Outcomes from Part B supported studies are noted in Chapters 201 and 203.

III. SOURCES OF INFORMATION

1. Program files. Some additional studies conducted under Part B are listed in chapters 201 and 203.

2. Tikunoff, W. J., et al., A Descriptive Study of Significant Features of the Exemplary Special Alternative Instructional Program (Los Alamitos, CA: Southwest Regional Educational Laboratory, 1991).

3. Gunderson, D., et al., Descriptive Study of the Family English Literacy Program (Reston, VA: Atlantic Resources Corporation, 1991).

4. Brush, L., et al., Descriptive Evaluation of the Preschool Special Populations Program (Washington, D.C.: Pelavin Associates, Inc., 1991).

5. Rivera, C., et al., Innovative Approaches Research Project Draft Performance Report (Arlington, VA: Development Associates, Inc., August 1990).

IV. PLANNED STUDIES

OBEMLA sponsored studies that are recently completed or underway are noted in Chapters 201 and 203. The OBEMLA research and evaluation plan is currently being finalized.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: John Ovard, (202) 205-9803--State Educational Agency Program, OBEMLA

Program Studies : Dang Pham, (202) 205-5463--Research, Evaluation Assistance Centers, Bilingual Clearinghouse, OBEMLA

Jeffery Rodamar, (202) 401-1958--Office of the Under Secretary

BILINGUAL EDUCATION PROGRAMS--TRAINING AND TECHNICAL ASSISTANCE--PART C
(CFDA No. 84.195)

I. PROGRAM PROFILE

Legislation: Part C of the Bilingual Education Act of 1988, Title VII of the Elementary and Secondary School Act, as amended, (20 U.S.C. 3321-3325) (expires September 30, 1999).

Purpose: To develop the human resources necessary to conduct instructional programs for students with limited English proficiency (LEP).

Funding History:

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$0	1986	$32,123,000
1970	0	1987	33,564,000
1975	21,000,000	1988	35,447,000
1980	30,325,000	1989	30,413,000
1981	32,075,000	1990	31,913,000
1982	28,836,000	1991	36,065,000
1983	31,288,000	1992	36,000,000
1984	32,610,000	1993	35,708,000
1985	33,566,000	1994	36,431,000

Grants and contracts are awarded under Part C to support the following activities:

- Educational Personnel Training. Provides financial assistance to institutions of higher education (IHEs) to establish, operate, or improve projects to train teachers, administrators, paraprofessionals, parents, and other personnel participating or preparing to participate in programs for LEP students.

- Fellowships. Provides fellowships at IHEs for postbaccalaureate study in bilingual education including teaching, training, curriculum development, research and evaluation, and administration. Recipients are required to work in an area related to educational programs for LEP persons or to repay their fellowships.

- Training Development and Improvement Program. Provides financial assistance to IHEs to encourage reform, innovation, and improvement in training programs.

- Short-Term Training. Provides financial assistance to local education agencies (LEAs), State education agencies (SEAs), for-profit and non-profit organizations, and IHEs, for the operation of short-term training projects to improve the skills of education personnel and parents participating in programs for LEP persons.
- Multifunctional Resource Centers (MRCs). Contractors provide technical assistance and training to SEA and LEA staff providing programs for LEP students.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The nation's growing enrollment of LEP students is discussed in Chapter 201. Over 363,000 teachers (15 percent of all teachers in the nation) taught LEP students in school year 1991-92, yet only about one third had taken college courses concerning the implications of second-language acquisition and cultural differences for instruction. When inservice training (averaging between 9 and 34 hours annually) is included, 55 percent of teachers of LEP students had some training that included these issues. Only 10 percent of teachers of LEP students were certified in bilingual education and 8 percent in English-as-a-second language (ESL) instruction. Eighty percent of districts reported "some" or "a lot" of difficulty hiring bilingual teachers. Fifty-three percent reported the same difficulty hiring ESL teachers (III.1).

Services

In FY 1993, Part C funds were awarded as follows (III.5):

Program	Number of Awards	Funding
Education Personnel Training	87	$15,375,000
Fellowships	40	4,962,000
Training Development and Improvement	3	892,249
Short-Term Training	32	3,455,000
MRCs	16	11,024,000
TOTAL	178	$35,708,249

Faced with the need to ensure that more teachers are trained to work effectively with LEP students, OBEMLA has initiated Training Development and Improvement (TDI) grants. To identify effective approaches, three types of grants have been funded at major universities. The first project hosted on its campus a 14-day session for college and university deans, curriculum developers and other key staff analyzing current practices of teacher training to work with LEP students, identifying ways to improve training for all teachers in this area, and developing a strategic plan for each participating college of education to improve its teacher training in this area. A second project focuses on reaching broad audiences of educators through presentations at major education conferences. A third project involves a group of institutions of higher education working together to restructure training in colleges of education to ensure that all teachers are better prepared to work with LEP students.

Outcomes

The Bilingual Fellows Program has assisted in graduating a majority (including 82 percent of master degree students and 46 percent of doctoral degree students) of the graduate students supported by the program.

The program is building education capacity to provide bilingual education services to LEP students. Between 1979 and 1993, 2,337 individuals have received bilingual education fellowships. Thirty-nine percent were employed as teachers or local education agency (LEA) administrators after completing their degrees. In addition, this program is building professional capacity by training the researchers, evaluators and college faculty who advance professional practice and educate tomorrow's teachers. Of the Fellows who have now completed degrees and have a reported occupational category, over a third (35 percent) are faculty members or administrators at colleges or other institutions of higher education. Another 11 percent list research, evaluation, or curriculum development as their occupation.

STATUS OF BILINGUAL EDUCATION FELLOWSHIPS
AWARDED 1979-1993

Completed fellowship and working in bilingual field:	64%
Currently enrolled as full-time student:	25
Degree not yet completed and currently working in qualified bilingual education job:	4
Deferment of payment:	2
Waiver for special conditions:	1
Action pending on account:	1
Account 30 days or more delinquent:	2
Account written off for failure to meet work requirement and nonrepayment:	0

Source: III.5.

An evaluation of the Bilingual Fellowship program indicates that, for the period 1979 to 1987 (III.2):

- 52 percent of all Fellows had completed their advanced degrees. The highest rate of degree completion was achieved by holders of master's degrees (83 percent), followed by post-master's (72 percent), and doctoral degrees (46 percent). Doctoral students comprised 1,432 of the total 1,721 Fellows. (Note: nationwide, the average time required to complete a doctoral degree is in excess of 8 years.)

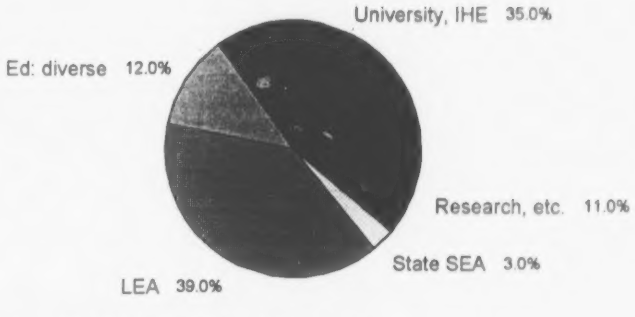
- Of the Fellows who had not completed their degrees, 312 (38 percent) had withdrawn due to discontinuation of program funding; the cost of further enrollment would have been borne by individual Fellows.

- More than 90 percent of Fellows who had completed either a doctorate or a post-master's degree, and 79 percent of those who had completed a master's degree, were employed in an authorized bilingual education-related activity.

- 93 percent of Fellows were in compliance with their contractual obligation to the Fellowship Program, including 2 percent in the process of repaying their fellowships; 4 percent were not in compliance (delinquent or unable to be located), and 3 percent were being asked for more information.

No new Fellows were funded during FYs 1988 and 1989; 185 individuals began participation in the Fellowship Program in FY 1990 and 131 began in FY 1991.

OCCUPATIONS OF FORMER PART C FELLOWS



Data are for completed Fellowships with employment code.
IHE and LEA data include both instructional and administrative posts.
"Ed:Diverse" includes education psychologists, education media developers, etc.

An evaluation of the Education Personnel Training Programs found the following (III.3):

- During 1990-91, Title VII EPTP funds supported 104 separate projects offering programs of study at the baccalaureate level or higher, located at 81 institutions of higher education and 27 States.

- The most prevalent type of EPTP project offered a master's degree, either alone or in combination with other degree/endorsement projects.

- Short-term endorsement programs typically requiring only 12 to 18 semester credit hours for completion are seen by some respondents as a cost-effective use of limited resources, more quickly producing a greater number of qualified teachers of LEP students than otherwise possible. Others perceive this type of program as not affording sufficient time or coursework for the preparation of well-qualified bilingual education or ESL teachers. In addition, by concentrating on providing supplemental training to already certified teachers, these programs fail to address the need for newly qualified teachers.

- Nearly two-thirds of all projects reported providing programs in both bilingual education and ESL. Bilingual education training generally requires courses in bilingual methods and demonstration of proficiency in a non-English language. ESL training usually includes courses on ESL methodology and does not require proficiency in a non-English language.

- Upon completion of their training, 83 percent of these students planned to take a position in bilingual/ESL education, and 12 percent planned to take a position in education, but not in bilingual/ESL education. Of those planning to take a position in bilingual/ESL education, almost half reported the job would be their first in the area, indicating that Title VII is helping to increase the number of educators who serve LEP children.

- Projects spend an average of 62 percent of Title VII grant funds on student aid, including stipends, books, travel expenses, and tuition and fees. An additional average of 25 percent was spent on administrator, staff, and faculty salaries and benefits. The remainder average of 13 percent was distributed across program evaluation, materials and supplies, equipment, travel, and overhead.

Management Improvement Strategies

The Multifunctional Resource Centers (MRCs) are incorporating the National Education Goals into their teacher training and technical assistance functions. The implementation of these goals includes an emphasis on early childhood education and school readiness, increasing stress on math and science education for LEP students, and leadership training for principals, superintendents and other school officials administering institutions which house Title VII projects.

III. SOURCES OF INFORMATION

1. Descriptive Study of Services to Limited English Proficient Students, Volume 1--Summary and Conclusions. (Arlington, VA: Development Associates, Inc., 1993).

2. Title VII Bilingual Education Fellowship Program Study. (Silver Spring, MD: The MayaTech Corporation, 1991).

3. A National Study of the ESEA Title VII Bilingual Education Personnel Training Program. (Research Triangle Park, NC: Research Triangle Institute, Inc., 1992).

4. Young, M.B. et al. LEP Students: Characteristics and School Services. Descriptive Phase Report of the National Longitudinal Evaluation of the Effectiveness of Services for Language Minority Limited English Proficient Students. Development Associates, Inc., and Research Triangle Institute, Inc., 1984).

5. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	John Ovard, (202) 205-5576 Division of National Programs, OBEMLA
Program Studies :	Dang Pham, (202) 732-5463 Research and Evaluation, OBEMLA
	Jeffery Rodamar, (202) 401-1958

EMERGENCY IMMIGRANT EDUCATION PROGRAM
(CFDA No. 84.162)

I. PROGRAM PROFILE

Legislation: The Emergency Immigrant Education Act (EIEA), (Title IV, Part D of the Elementary and Secondary Education Act), as amended, (20 U.S.C. 3121-3130) (expires September 30, 1999).

Purpose: To assist State education agencies (SEAs) and local education agencies (LEAs) in providing supplementary educational services and offsetting costs for immigrant children enrolled in elementary and secondary public and nonpublic schools. The eligible recipients are the States, which then distribute the funds to LEAs within the State according to the number of immigrant children.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1984	$30,000,000	1990	30,144,000
1985	30,000,000	1991	29,276,619
1986	28,710,000	1992	30,000,000
1987	30,000,000	1993	29,462,000
1988	29,969,001[1]	1994	38,992,000
1989	29,640,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Children eligible for the Emergency Immigrant Education program are defined by the statute as "children who were not born in any State and who have been attending schools in one or more States for less than three complete academic years." Eligible children are often limited English proficient (LEP). Twenty percent of the LEP students in the U.S. have been here for less than a year, and 36 percent have lived in the U.S. for one to four years. Approximately 15 percent of LEP students in general have missed more than 2 years of schooling since age 6.

---

[1] Includes a $1,247,000 reappropriation to the State of Texas.

BEST COPY AVAILABLE

An SEA may apply (1) if there are 500 eligible children in any LEA in the State; or (2) if eligible children constitute 3 percent of enrollment in one or more LEAs in the State. The count of eligible children may be taken at any time in the school year; proper documentation of legal immigrant status is not required to establish a child's eligibility for the program (III.1).

In FY 1993, the program served 825,968 immigrant students in 34 States, the District of Columbia, and Puerto Rico (III.1). Immigrant students come from over 160 countries and differ widely in their educational background and English language proficiency. The number of students served by EIEA has grown from 348,287 in 1984 to 825,968 in FY 1993, an increase of 137 percent.

With the exception of the Chapter 1 program, less than one-third of the EIEA students participated in other applicable federally funded education programs, including the Transition Program for Refugee Children, Bilingual Education Act (Title VII) programs, Chapter 1 - Migrant Education Program, and the State Legalization Impact Assistance Grants Program. Up to 66 percent of EIEA students may have participated in Chapter 1.

In October 1993, the Department issued New Land, New Knowledge: An Evaluation of Two Education Programs Serving Refugee and Immigrant Students, a comprehensive nationwide evaluation of the Emergency Immigrant Education Act program and the Transition Program for Refugee Children (III.5.). The evaluation found that:

- The number of eligible immigrant students in the US has been rapidly increasing. In 1989, there were an estimated 700,000 immigrant students eligible for this program. The number of eligible immigrant students in districts receiving EIEA funding increased 6.8 percent in 1990 and 14 percent in 1991.

- While Congressional funding has remained relatively stable in current dollars, the number of eligible students has grown. As a result, funding per immigrant student has fallen from approximately $62 in 1989 to $50 in 1990 and $43 in 1991. When inflation is taken into account, the decline in funding per immigrant student has been greater.

Services

The Emergency Immigrant Education program makes grants to SEAs and LEAs to provide supplementary educational services (including, but not limited to, English language instruction, other bilingual educational services, and special materials and supplies); to provide in-service training; and to offset the costs of "additional basic instructional services that are directly attributable to the presence of eligible children" (i.e., supplies, overhead costs, construction costs, acquisition or rental of space) (III.3).

A strength of this program is its flexibility in providing support for instructional activities and materials not available from other sources. This supports a wide variety of process outcomes (from hiring classroom aides to purchasing instructional materials, to field trips to help students become familiar with their new country, to providing support for construction of education facilities) which can contribute to student education outcomes.

In March of 1991, the General Accounting Office released a comprehensive, nationwide study of the Emergency Immigrant Education Act program (III.4). The study found the following:

- In 1989-90, about 80 percent of EIEA funds were used to support academic instructional programs. The remaining 20 percent were used for such purposes as student testing and counseling, parental involvement activities and administrative services.

- Of the 80 percent used to support instructional programs, 76 percent was spent on salaries and benefits for teachers and/or aides. The remaining funds were used to purchase classroom supplies and materials and in-service training.

- LEAs used EIEA funding to purchase resources on a one-time and marginal basis because the funding was not considered either reliable or consistent in grant amount. Because of flexibility in use, funds are used to purchase items not allowable under other programs such as Title VII and Chapter 1. They are also used to make one-time purchases such as textbooks, pay for field trips or hire temporary classroom aides. The uncertainty of the program funding from year to year and the inability to offer permanent employment make it difficult for schools to hire the best people.

Program Administration

Over the past 2 years, a number of procedural changes have been made to improve the administration of this program. This includes verification of the number of eligible immigrant children when large changes are noted between the two program years, and ensuring compliance with EIEA statue and regulations. In 1990, seven SEAs were contacted concerning increases in their reported populations; in each case the increases were confirmed. Section 4406 (b)(3) of the EIEA requires reduction of a State's grant by the amount that the State receives under another Federal program for the same purpose. The only program that currently triggers the reduction requirement is the Targeted Assistance Program for refugee resettlement administered by the Department of Health and Human Services.

Districts and States vary in procedures used for counting students, resulting in a variation in the quality of data. Although LEAs conduct their count of eligible students in March, they are not given formal notification of participation and their grant amount until November.

LEAs find budgeting difficult due to this uncertainty. In addition, grant payments often arrive after the start of the school year.

Outcomes

According to the Descriptive Study of Services to Limited English Proficient Students (III.6.):

- About 80 percent of the districts in the country report "some" to "a lot" of difficulty recruiting bilingual teachers; 53 percent report difficulty hiring ESL teachers. Only 10 percent of teachers of LEP students were certified in bilingual education and 8 percent in English as a Second Language (ESL).

- However, the other needs of students (and parents) are not being met with existing resources. LEAs do not operate distinct programs for refugee or immigrant students; instead, these students are included in the district's larger programs for LEP students including bilingual and ESL programs. The academic and support needs of immigrant students still exceed the LEAs' capacity to meet those needs. LEAs have established language training as the most critical need and have allocated resources accordingly.

Management Improvement Strategies

In 1989, the Department of Education proposed statutory language to add a "supplement, not supplant" provision to the Emergency Immigrant Education program in order to ensure that these funds are used for services needed by immigrant children rather than for basic operating expenses of school districts.

The Department has proposed legislation for the reauthorization of the Elementary and Secondary Education Act that would replace the EIEA with a new discretionary grant authority in Title VII designed to address the needs for assistance of LEAs experiencing increases in the number of immigrant students. These would be two-year grants to LEAs which have at least 1,000 immigrant students or in which immigrants are 10 percent of total enrollment. LEAs may use funds to provide education and enrichment for immigrant students, including efforts to increase parent involvement. In addition, performance indicators are being developed for this program.

III. SOURCES OF INFORMATION

1. Program files.

2. J.S. Passel, "Immigration to the United States," (text of speech) (Washington, DC:

Bureau of the Census, August 1986).

3. Distribution of State-Administered Federal Education Funds: Fourteenth Annual Report, (Washington, DC: U.S. Department of Education, 1990).

4. Information on the Emergency Immigrant Education Act Program, A Report to Congress (Washington, DC: U.S. General Accounting Office, 1991).

5. New Land, New Knowledge: An Evaluation of Two Education Programs Serving Refugee and Immigrant Students, Final Report. (Washington, D.C.: U.S. Department of Education, 1993)

6. Descriptive Study of Services to Limited English Proficient Students, Vol. 1. (Washington, D.C.: U.S. Department of Education, 1993).

7. Biennial Report to Congress on the Emergency Immigrant Education Program. (Washington, D.C.: U.S. Department of Education, June 29, 1992).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Harpreet Sandhu, (202) 205-9808

Program Studies : Jeffery Rodamar, (202) 401-1958

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES

AID TO STATES FOR EDUCATION OF HANDICAPPED CHILDREN IN STATE-OPERATED AND STATE-SUPPORTED SCHOOLS
(CHAPTER 1, ESEA)
(CFDA No. 84.009)

I. PROGRAM PROFILE

Legislation: The Elementary and Secondary Education Act of 1965, Title I, Part D, Subpart 2, as amended (20 U.S.C. 2791-2796) (expires September 30, 1999).

Purpose: To provide Federal assistance to supplement the special education needs of children with disabilities through age 21 , or early intervention needs of infants and toddlers with disabilities in State-operated or State-supported schools and programs, and for children who have been transferred to local education agencies (LEAs) but who continue to be counted under this program.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$15,917,000	1986	$143,713,000
1970	37,482,000	1987	150,170,000
1975	87,864,000	1988	151,269,000
1980	45,000,000	1989	148,200,000
1981	156,625,000	1990	146,389,000
1982	146,520,000	1991	148,859,000
1983	146,520,000	1992	143,000,000
1984	146,520,000	1993	126,394,000
1985	150,170,000	1994	116,878,000

For FY 1993, programs funded under Chapter 1 (SOP) to assist in educating children with disabilities in State-operated or State-supported programs received an average per pupil allocation of $432. This compares with $2.053 billion that was distributed to States for the provision of special education to children with disabilities through IDEA, Part B, with an average allocation of $411 per child.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program provides funds to States and territories based on a child count formula. In the 1992-93 school year, 276,377 children and youth, ages birth through 21, were served under this program (see Table 1). The Chapter 1 program serves about 4 percent of all children with disabilities ages 3 through 21 and provides additional funding for the same children ages birth through 2 for whom funds are provided under the Grants for Infants and Families programs.

Services

For the school year 1992-93, some 155,458 students, ages 6 through 17, received Chapter 1 support (See Table 1). States reported serving 76,449 infants and toddlers with disabilities under Chapter 1 (SOP) in 1992-93, a 15 percent increase over 1991-92. A total of 66,943 infants and toddlers were receiving early intervention services in non-Chapter 1 (SOP) programs. The increases in the numbers of infants and toddlers with disabilities reported under Chapter 1 (SOP) and other programs likely reflects States' increasing ability to provide more accurate counts of the actual number of children with disabilities served as their early intervention systems evolve.

The majority of children receiving Chapter 1 services were students with mental retardation (48,844), followed by those with learning disabilities (35,814), and those with serious emotional disturbance (34,123) (see Table 2).

The majority of Chapter 1 students (33,066) were served in separate classes, followed by public residential facilities (22,914) and public separate facilities (20,798) (see Table 3).

Management Improvement Strategies

As part of the reauthorization proposals for the Elementary and Secondary Education Act of 1965, the Department proposed that the Chapter 1 Program be eliminated and all children be served under the Individuals with Disabilities Education Act (IDEA). In FY 1992, the Congress began the transition of merging the Chapter 1 Program with the formula grant programs under the IDEA through the appropriations process. From FY 1992 through FY 1994, the Congress reduced appropriations for the Chapter 1 Program for Handicapped Children. To offset the termination of funding for the Chapter 1 Program, the funds used in FY 1994 for children ages 3 through 21 under the Chapter 1 Program have been added to the request for the Grants to States Program and the funds used in FY 1994 for children ages birth through 2 have been added to the request for the Grants for Infants and Families program. The proposed elimination of authority for the Chapter 1 Program for Handicapped Children will complete the merger.

Table 1

NUMBER OF CHILDREN SERVED UNDER CHAPTER 1 OF ESEA (SOP) BY AGE GROUP

DURING THE 1992-93 SCHOOL YEAR

STATE	BIRTH THROUGH 21	BIRTH THROUGH 2	3-5	6-11	12-17	6-17	18-21
	AGE GROUP						
ALABAMA	1,861	666	169	215	643	858	168
ALASKA	3,422	558	280	1,514	984	2,498	86
ARIZONA	1,751	818	34	381	419	800	99
ARKANSAS	3,587	699	867	933	884	1,817	204
CALIFORNIA	4,244	878	194	422	1,462	1,884	1,288
COLORADO	3,950	822	52	1,388	1,281	2,669	407
CONNECTICUT	4,637	833	240	650	2,196	2,846	718
DELAWARE	2,555	10	18	1,062	1,261	2,323	204
DISTRICT OF COLUMBIA	4,753	162	196	2,097	1,966	4,063	332
FLORIDA	9,030	2,027	1,163	2,571	2,216	4,787	1,053
GEORGIA	2,414	204	248	680	985	1,665	297
HAWAII	1,037	680	27	73	200	273	57
IDAHO	1,188	638	291	99	135	234	25
ILLINOIS	49,417	4,578	858	18,330	21,276	39,606	4,375
INDIANA	8,496	2,679	72	2,513	2,076	4,589	1,156
IOWA	1,374	914	20	96	306	402	38
KANSAS	2,919	707	220	951	868	1,819	173
KENTUCKY	2,680	949	21	582	942	1,524	186
LOUISIANA	4,478	1,868	133	882	1,092	1,974	503
MAINE	1,002	0	49	233	603	836	117
MARYLAND	4,688	3,107	51	243	799	1,042	488
MASSACHUSETTS	21,035	6,484	2,837	4,687	5,351	10,038	1,676
MICHIGAN	15,191	2,911	1,002	3,550	5,225	8,775	2,503
MINNESOTA	2,768	2,353	7	68	283	351	57
MISSISSIPPI	844	90	105	242	261	503	146
MISSOURI	3,220	1,404	43	598	778	1,376	397
MONTANA	467	330	9	31	77	108	20
NEBRASKA	876	667	5	26	137	163	41
NEVADA	672	645	0	0	25	25	2
NEW HAMPSHIRE	1,901	644	352	329	421	750	155
NEW JERSEY	6,281	2,535	323	916	1,494	2,410	1,013
NEW MEXICO	302	47	56	73	80	153	46
NEW YORK	17,756	3,730	189	5,961	6,527	12,488	1,349
NORTH CAROLINA	2,374	761	62	413	822	1,235	316
NORTH DAKOTA	890	233	173	321	139	460	24
OHIO	5,380	0	306	1,654	1,911	3,565	1,509
OKLAHOMA	1,820	1,216	26	133	312	445	133
OREGON	11,136	1,322	2,032	3,683	3,286	6,969	813
PENNSYLVANIA	22,744	5,883	2,790	6,846	5,704	12,550	1,521
PUERTO RICO	0	0	0	0	0	0	0
RHODE ISLAND	1,238	494	59	196	323	519	166
SOUTH CAROLINA	1,739	973	209	162	268	430	127
SOUTH DAKOTA	637	239	18	142	121	263	117
TENNESSEE	2,811	1,956	78	157	458	615	162
TEXAS	14,992	7,782	1,061	2,568	2,704	5,272	877
UTAH	2,626	1,341	348	455	397	852	85
VERMONT	1,512	120	107	656	499	1,155	130
VIRGINIA	3,921	2,742	43	432	559	991	145
WASHINGTON	4,797	2,014	680	1,065	783	1,848	255
WEST VIRGINIA	1,701	1,084	127	148	254	402	88
WISCONSIN	3,998	2,167	34	1,024	593	1,617	180
WYOMING	508	433	0	8	56	64	11
AMERICAN SAMOA	36	0	0	11	19	30	6
GUAM	164	0	0	54	91	145	19
NORTHERN MARIANAS	204	34	15	71	76	147	8
PALAU	204	18	12	75	97	172	2
VIRGIN ISLANDS	149	0	60	25	38	63	26
BUR. OF INDIAN AFFAIRS	0	0	0	0	0	0	0
U.S. AND OUTLYING AREAS	276,377	76,449	18,371	72,695	82,763	155,458	26,099
50 STATES, D.C. & P.R.	275,620	76,397	18,284	72,459	82,442	154,901	26,038

PLEASE SEE DATA NOTES FOR AN EXPLANATION OF INDIVIDUAL STATE DIFFERENCES.

DATA AS OF OCTOBER 1, 1993.

SOURCE: ANNUAL.CNTL(C4C9RXX1A)
18OCT93

BEST COPY AVAILABLE

Table 2

NUMBER OF CHILDREN AGE 6-21 SERVED UNDER CHAPTER 1 OF ESEA (SOP)
BY DISABILITY

DURING THE 1992-93 SCHOOL YEAR

STATE	ALL DISABILITIES	SPECIFIC LEARNING DISABILITIES	SPEECH OR LANGUAGE IMPAIRMENTS	MENTAL RETARDATION	SERIOUS EMOTIONAL DISTURBANCE	MULTIPLE DISABILITIES	HEARING IMPAIRMENTS	ORTHOPEDIC IMPAIRMENTS
ALABAMA	1,026	39	1	110	361	63	257	0
ALASKA	2,584	1,568	528	128	117	140	42	12
ARIZONA	899	21	12	114	59	138	421	13
ARKANSAS	2,021	79	87	1,034	3	357	221	69
CALIFORNIA	3,172	745	178	731	438	221	814	3
COLORADO	3,076	461	189	583	440	1,016	162	124
CONNECTICUT	3,564	1,421	40	199	1,032	289	87	8
DELAWARE	2,527	808	6	764	414	0	98	239
DISTRICT OF COLUMBIA	4,395	2,144	192	1,073	761	20	8	67
FLORIDA	5,840	403	201	2,973	662	0	529	699
GEORGIA	1,962	79	43	765	516	0	353	23
HAWAII	330	36	2	65	53	59	42	50
IDAHO	259	23	1	45	10	51	99	1
ILLINOIS	43,981	12,203	1,096	11,642	14,096	0	1,820	1,722
INDIANA	5,745	385	307	3,273	285	396	413	203
IOWA	440	21	0	12	199	12	136	0
KANSAS	1,992	210	159	416	557	302	191	51
KENTUCKY	1,710	138	85	470	294	223	288	44
LOUISIANA	2,477	180	45	969	326	307	288	192
MAINE	953	50	15	128	506	181	43	10
MARYLAND	1,530	230	9	149	402	216	304	3
MASSACHUSETTS	11,714	7,073	1,614	1,288	1,064	250	116	71
MICHIGAN	11,278	209	38	5,618	2,293	1,912	178	96
MINNESOTA	408	41	0	19	115	0	171	1
MISSISSIPPI	649	3	92	170	1	78	170	58
MISSOURI	1,773	0	0	1,527	27	0	151	0
MONTANA	128	21	0	1	16	10	61	0
NEBRASKA	204	38	16	27	39	3	49	0
NEVADA	27	16	0	0	10	0	0	1
NEW HAMPSHIRE	905	78	53	145	105	182	178	16
NEW JERSEY	3,423	386	6	959	607	729	199	76
NEW MEXICO	199	0	0	2	51	39	97	0
NEW YORK	13,837	2,711	1,978	2,168	2,018	1,988	1,559	655
NORTH CAROLINA	1,551	96	22	279	321	282	467	0
NORTH DAKOTA	484	26	57	234	11	0	14	41
OHIO	5,074	0	0	480	16	4,328	135	0
OKLAHOMA	578	17	0	60	71	202	153	5
OREGON	7,782	592	511	2,335	1,180	0	1,310	561
PENNSYLVANIA	14,071	1,917	1,270	4,427	2,893	488	691	868
PUERTO RICO	0	0	0	0	0	0	0	0
RHODE ISLAND	685	183	4	96	233	24	109	16
SOUTH CAROLINA	557	18	1	154	16	140	149	0
SOUTH DAKOTA	380	3	2	86	91	81	51	29
TENNESSEE	777	41	10	251	217	38	206	0
TEXAS	6,149	318	53	1,080	300	325	3,518	115
UTAH	937	39	23	202	86	123	287	34
VERMONT	1,285	211	277	459	145	64	32	37
VIRGINIA	1,136	35	4	125	139	57	151	1
WASHINGTON	2,103	83	40	552	165	570	219	124
WEST VIRGINIA	490	46	15	151	51	0	96	26
WISCONSIN	1,797	110	117	179	276	1,038	3	47
WYOMING	75	28	1	0	32	0	13	[illegible]
AMERICAN SAMOA	36	0	0	22	1	7	0	[illegible]
GUAM	164	24	9	48	14	26	25	[illegible]
NORTHERN MARIANAS	155	80	12	18	2	28	9	4
PALAU	174	127	13	7	4	2	5	[illegible]
VIRGIN ISLANDS	89	0	2	32	15	31	1	[illegible]
BUR. OF INDIAN AFFAIRS	0	0	0	0	0	0	0	[illegible]
U.S. AND OUTLYING AREAS	181,557	35,814	9,436	48,844	34,123	17,036	17,189	[illegible]
50 STATES, D.C. & P.R.	180,939	35,583	9,400	48,717	34,087	16,942	17,149	[illegible]

PLEASE SEE DATA NOTES FOR AN EXPLANATION OF INDIVIDUAL STATE DIFFERENCES.

DATA AS OF OCTOBER 1, 1993.

ANNUAL.CNTL(C4C9MX2A)
18OCT93

BEST COPY AVAILABLE

Table 3

NUMBER OF CHILDREN AGE 3-21 SERVED IN DIFFERENT EDUCATIONAL ENVIRONMENTS UNDER CHAPTER 1 OF ESEA (SOP) STATE-OPERATED OR STATE-SUPPORTED PROGRAMS DURING THE 1991-92 SCHOOL YEAR

ALL DISABILITIES

	NUMBER							
STATE	REGULAR CLASS	RESOURCE ROOM	SEPARATE CLASS	PUBLIC SEPARATE FACILITY	PRIVATE SEPARATE FACILITY	PUBLIC RESIDENTIAL FACILITY	PRIVATE RESIDENTIAL FACILITY	HOMEBOUND HOSPITAL ENVIRONMENT
ALABAMA	0	0	49	74	0	481	151	72
ALASKA	1,056	1,180	159	0	0	1	0	2
ARIZONA	0	0	46	419	107	247	0	27
ARKANSAS	0	0	3	61	687	454	0	55
CALIFORNIA	0	36	0	70	0	2,250	0	69
COLORADO	0	0	28	621	287	482	0	258
CONNECTICUT	123	182	361	113	123	221	148	106
DELAWARE	590	113	525	806	0	15	28	78
DISTRICT OF COLUMBIA	0	32	2,638	733	485	4	263	13
FLORIDA	0	0	0	0	422	489	242	52
GEORGIA	110	135	0	159	0	1,470	0	0
HAWAII	16	11	103	40	5	0	0	14
IDAHO	0	36	25	170	34	7	1	6
ILLINOIS	93	298	23,423	6,620	5,417	1,871	686	5
INDIANA	.	.	.	994	.	626	.	.
IOWA	0	0	0	0	0	530	0	0
KANSAS	11	45	85	73	31	805	64	34
KENTUCKY	0	0	826	152	25	695	0	14
LOUISIANA	0	0	16	9	3	1,094	0	6
MAINE	77	33	42	2	193	40	121	26
MARYLAND	116	67	13	106	0	506	485	0
MASSACHUSETTS	0	0	0	0	4,183	0	712	115
MICHIGAN	50	44	1,315	4,385	.	746	12	38
MINNESOTA	0	0	0	28	7	291	25	0
MISSISSIPPI	0	3	0	112	0	411	0	36
MISSOURI	0	0	0	1,649	0	233	0	33
MONTANA	44	0	112	0	0	22	0	0
NEBRASKA	0	0	0	0	0	193	0	0
NEVADA	0	27	0	0	0	0	0	0
NEW HAMPSHIRE	54	18	18	454	22	61	70	0
NEW JERSEY	365	38	171	1,782	336	673	15	0
NEW MEXICO	0	0	0	0	0	125	0	124
NEW YORK	0	0	0	0	1,673	2,049	61	0
NORTH CAROLINA	87	43	35	3	75	931	334	90
NORTH DAKOTA	.	.	7	.	.	58	1	.
OHIO	0	0	0	0	0	323	.	9
OKLAHOMA	0	0	13	9	10	438	0	23
OREGON	1,843	351	1,257	229	432	206	121	266
PENNSYLVANIA	430	215	1,480	385	3,844	302	727	185
PUERTO RICO	0	0	0	0	0	0	0	0
RHODE ISLAND	0	0	0	0	2	0	169	4
SOUTH CAROLINA	0	70	37	97	0	473	0	0
SOUTH DAKOTA	0	0	0	45	94	45	242	0
TENNESSEE	0	28	1	151	0	635	0	92
TEXAS	0	0	0	0	0	0	0	0
UTAH	0	0	0	0	0	588	0	199
VERMONT	10	2	4	43	21	14	76	0
VIRGINIA	342	42	82	11	1	456	2	93
WASHINGTON	0	0	0	104	0	447	0	0
WEST VIRGINIA	0	0	0	48	185	162	0	90
WISCONSIN	0	0	8	0	0	662	0	0
WYOMING	0	0	0	18	0	79	0	0
AMERICAN SAMOA	12	0	25	0	0	0	0	0
GUAM	73	25	148	15	16	3	0	1
NORTHERN MARIANAS	98	90	11	0	0	0	0	2
PALAU	.	.	.	.	.	.	.	.
VIRGIN ISLANDS	0	0	0	8	0	0	12	0
BUR. OF INDIAN AFFAIRS	.	.	.	.	.	.	.	.
U.S. AND OUTLYING AREAS	5,600	3,164	33,066	20,798	18,720	22,914	4,768	2,237
50 STATES, D.C. & P.R.	5,417	3,049	32,882	20,775	18,704	22,911	4,756	2,234

THE NUMBER OF STUDENTS SERVED IN CORRECTIONAL FACILITIES AND IN PRIVATE SCHOOLS NOT PLACED OR REFERRED BY PUBLIC AGENCIES ARE DUPLICATE COUNTS. THESE STUDENTS ARE ALSO REPORTED AS BEING SERVED IN ONE OF THE OTHER EIGHT EDUCATIONAL ENVIRONMENTS.

PLEASE SEE DATA NOTES FOR AN EXPLANATION OF INDIVIDUAL STATE DIFFERENCES.

DATA AS OF OCTOBER 1, 1993.

SOURCE: ANNUAL.CHTL(LEKXNP1A)
21OCT93

BEST COPY AVAILABLE

III. SOURCES OF INFORMATION

Fifteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Act (Washington, DC; U.S. Department of Education, 1993).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Thomas B. Irvin, (202) 205-8825

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

GRANTS TO STATES PROGRAM FOR DISABLED CHILDREN AND YOUTH
(CFDA No. 84.027)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part B, (20 U.S.C. 1411-1420) (expires September 30, 1995).

Purpose: The purposes of this program are (1) to provide assistance to States to develop early intervention services for infants and toddlers with disabilities and their families, and to assure a free appropriate public education to all children and youth with disabilities; (2) to assure that the rights of children and youth with disabilities from birth to age 21 and their families are protected; (3) to assist States and localities to provide for early intervention services and the education of all children with disabilities; and (4) to assess and assure the effectiveness of efforts to provide early intervention services and educate children with disabilities.

Funding History (Funds are forward-funded)

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$2,500,000 1/	1986	$1,163,282,000
1970	29,190,000	1987	1,338,000,000
1975	100,000,000	1988	1,431,737,000
1980	874,500,000	1989	1,475,449,000
1981	874,500,000	1990	1,542,610,000
1982	931,008,000	1991	1,854,186,000
1983	1,017,900,000	1992	1,976,095,000
1984	1,068,875,000	1993	2,052,728,000
1985	1,135,145,000	1994	2,149,686,000

1/ State grants for planning activities for the education of children with disabilities were authorized under P.L. 89-750, Part F, which amended the Elementary and Secondary Education Act (ESEA) of 1965 (P.L. 89-10) by creating Title VI, Education of Handicapped Children. P.L. 94-142, which became Part B of the Education of the Handicapped Act (now the Individuals with Disabilities Education Act) was passed in 1975.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

- The number and percentage of children and youth with disabilities continues to grow. In 1992-93, 5,170,242 children from birth through age 21 were served under

Part B and Chapter 1 (SOP); this was a 3.7 percent increase from the previous year (Table 1.3).

o Over half (52.4 percent) the students ages 6 through 21 served by IDEA and Chapter 1 (SOP) are identified as having specific learning disabilities. The number of students served with specific learning disabilities increased by 5.4 percent from 1991-92 to 1992-93. This increase continues a trend that is now several years old (Table 1.4).

Services

Approximately 95 percent of students with disabilities received education and related services in regular school buildings in 1991-92. This continues the trend to place more children in more integrated settings (Table 1.5).

The number of teachers employed to serve children and youth with disabilities ages 6 through 21 from 1990-91 to 1991-92 increased 3.8 percent, while the number of children served over the period increased by 3.0 percent. For students ages 3 through 5, the number of special education teachers employed increased by 15.7 percent for the same time period (Table 1.8).

For 1991-92, States reported a shortage of approximately 27,000 teachers and more than 5,400 teacher aides to serve school-age children. For three- through five-year-old children with disabilities, 2,288 preschool teachers were needed during the 1991-92 school year, 11.2 percent fewer than in 1990-91 (Table 1.10).

Outcomes

In 1991-92, 57.4 percent of all students with disabilities exiting the educational system received a diploma or certificate, while 22.4 percent dropped out of school. Over the past 5 years, the dropout percentage for students with disabilities has decreased steadily and the graduation percentage has shown a general upward trend.

Students with disabilities who attended regular schools had higher absenteeism and dropout rates, and lower grades, than the general student population. Poor results were disproportionately experienced by students in the largest disability categories -- those with learning disabilities, mental retardation, and serious emotional disturbance.

Students with disabilities who graduated from high school earned 22 credits, as compared to 23 credits earned by graduates from the general student population. On average, States require graduating students to have earned 11 or 12 credits in academic subjects. Overall, students with disabilities who graduated met this requirement, earning an average of 12 (55 percent) of their total credits in academic classes, compared to the 15 (69 percent) earned by students in the general population.

Table 1.3 Students Served under Part B and Chapter 1 (SOP):- Number and Percentage Change, School Years 1976-77 through 1992-93

School Year	Change in Total Number Served from Previous Year (%)	Total Served	Part B[c]	Chapter 1 (SOP)
1976-77	--	3,708,588	3,484,756	223,832
1977-78	1.8	3,777,286	3,554,554	222,732
1978-79	3.8	3,919,073	3,693,593	225,480
1979-80	3.0	4,036,219	3,802,475	233,744
1980-81	3.5	4,177,689	3,933,981	243,708
1981-82	1.3	4,233,282	3,990,346	242,936
1982-83	1.5	4,298,327	4,052,595	245,732
1983-84	1.0	4,341,399	4,094,108	247,291
1984-85[b]	0.5	4,363,031	4,113,312	249,719
1985-86	0.2	4,370,244	4,121,104	249,140
1986-87	1.2	4,421,601	4,166,692	254,909
1987-88	1.4	4,485,702	4,226,504	259,198
1988-89	1.8	4,568,063	4,305,690	262,373
1989-90	2.4	4,675,619	4,411,681	263,938
1990-91	2.8	4,807,441	4,547,368	260,073
1991-92	3.7	4,986,075	4,714,119	271,956
1992-93	3.7	5,170,242	4,893,865	276,377

a/ From 1988-89 to the present, these numbers include children 3 through 21 years of age counted under Part B and children from birth to age 21 counted under Chapter 1 (SOP). Prior to 1988-89, children from birth through age 20 were served under Chapter 1 (SOP). The totals do not include infants and toddlers from birth through age 2 served under Part H who were not served under the Chapter 1 (SOP) program.

b/ Beginning in 1984-85, the number of children with disabilities reported for the most recent year reflects revisions to State data received by the Office of Special Education Programs between the July 1 grant award date and October 1. Updates received from States for previous years are included, so totals may not match those reported in previous annual reports to Congress. Before 1984-85, reports provided data as of the grant award date.

c/ Although States must serve all eligible children with disabilities, funds are provided only for up to 12 percent of the State's total school population. This is commonly referred to as "the 12 percent cap."

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

BEST COPY AVAILABLE

Table 1.4 Disability of Students Age 6 through 21 Served under Part B and Chapter 1 (SOP): Number and Percentage, School Year 1992-93

Disability	Part B		Chapter 1 (SOP)		Total	
	Number	Percent[a]	Number	Percent[a]	Number	Percent[a]
Specific learning disabilities	2,333,571	52.4	35,814	19.7	2,369,385	51.1
Speech or language impairments	990,718	22.2	9,436	5.2	1,000,154	21.6
Mental retardation	484,871	10.9	48,844	26.9	533,715	11.5
Serious emotional disturbance	368,545	8.3	34,123	18.8	402,668	8.7
Multiple disabilities	86,179	1.9	17,036	9.4	103,215	2.2
Hearing impairments	43,707	1.0	17,189	9.5	60,896	1.3
Orthopedic impairments	46,498	1.0	6,423	3.5	52,921	1.1
Other health impairments	63,982	1.4	2,072	1.1	66,054	1.4
Visual impairments	18,129	0.4	5,682	3.1	23,811	0.5
Autism	12,238	0.3	3,289	1.8	15,527	0.3
Deaf-blindness[b]	773	0.0	652	0.4	1,425	0.0
Traumatic brain injury	2,906	0.1	997	0.5	3,903	0.1
All disabilities	4,452,117	100.0	181,557	100.0	4,633,674	100.0

a/ Percentages sum within columns.

b/ 8,404 persons between the ages of birth to 21 have been identified by coordinators of the State and Multi-State Services for Children with Deaf-Blindness. They are required under [20 U.S.C §§1422(c)(1) and (2)] to conduct an annual census of all persons under 22 years of age that meet the federal definition for Deaf-Blindness (Federal Registry 1991, p. 51585). For a full report contact the Severe Disabilities Branch of OSEP.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

Table 1.5 Percentage of Students Age 6 through 21 Served in Different Educational Environments, By Disability: School Year 1991-92

Disability	Educational Environment[a]					
	Regular Class	Resource Room	Separate Class	Separate School	Residential Facility	Homebound/ Hospital
Specific learning disabilities	24.7	54.2	20.0	0.9	0.1	0.1
Speech or language impairments	85.5	9.1	3.9	1.4	0.1	0.1
Mental retardation	5.1	25.4	59.2	8.8	1.2	0.3
Serious emotional disturbance	15.8	27.8	36.9	13.9	4.0	1.5
Multiple disabilities	6.2	18.1	47.1	22.6	3.8	2.2
Hearing impairments	27.0	20.5	31.2	9.6	11.5	0.1
Orthopedic impairments	32.4	21.0	34.3	7.3	0.9	4.1
Other health impairments	35.3	27.6	21.4	3.3	0.5	11.8
Visual impairments	39.6	21.2	19.6	8.5	10.6	0.4
Autism	4.7	6.9	48.5	35.9	3.1	0.9
Deaf-blindness	5.8	6.2	36.3	21.2	28.6	1.8
Traumatic brain injury	7.8	9.0	23.7	53.4	3.7	2.4
All disabilities	34.9	36.3	23.5	3.9	0.9	0.5

a/ Data for students placed in public and private separate schools and in public and private residential facilities have been combined for presentation in this table.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

Table 1.8 Special Education Teachers Employed and Students Age 6 through 21 Served under Part B and Chapter 1 (SOP), School Year 1991-92

Disability	Teachers	Students
Specific learning disabilities	97,805	2,369,385
Speech or language impairments	43,610	1,000,154
Mental retardation	43,142	533,715
Serious emotional disturbance	29,496	402,668
Multiple disabilities	7,767	103,215
Hearing impairments	7,025	60,896
Orthopedic impairments	3,612	52,921
Other health impairments	2,159	66,054
Visual impairments	3,025	23,811
Autism	1,126	15,527
Deaf-blindness	150	1,425
Traumatic brain injury	68	3,903
Cross-categorical[a]	69,919	[a]
Total	308,904	4,633,674

[a] Teachers in cross-categorical programs teach classes with students having varying disabilities. No data are available on the number of students served in cross-categorical programs.

Source: U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS).

Table 1.10 Special Education Teachers Needed to Serve Students with Disabilities Age 6 through 21: School Year 1991-92

Disability	Number of Teachers Needed	Percentage of All Teachers Needed
Specific learning disabilities	8,003	29.3
Speech or language impairments	3,907	14.3
Mental retardation	3,079	11.3
Serious emotional disturbance	4,724	17.3
Multiple disabilities	700	2.6
Hearing impairments	727	2.7
Orthopedic impairments	313	1.1
Other health impairments	260	1.0
Visual impairments	336	1.2
Autism	326	1.2
Deaf-blindness	41	0.1
Traumatic brain injury	35	0.1
Cross-categorical	4,833	17.7
Total	27,282	100.0

Note Percentages may not total 100 percent because of rounding

The total FTE may not equal the sum of the individual disability categories because of rounding

Source U S Department of Education Office of Special Education Programs Data Analysis System (DANS)

As a group, students with disabilities spent 70 percent of their time in regular education settings. The amount of time spent in regular classrooms ranged from 87 percent of class time for students with visual impairments to 32 percent of class time for those with multiple disabilities. However, performance is more likely to be influenced by the extent of placement in regular education *academic* classes than by placement as a whole. As a group, students with disabilities spend 33 percent of their time in regular education academic classes. Students with disabilities who spent most of their time in regular education classes were 10 percent more likely to fail a class in ninth grade than peers who spent just half their time there.

Nearly all students with disabilities had some type of occupational vocational education while in secondary school, although their experience varied considerably. Students with learning disabilities were most likely to have concentrated in a vocational content area. To some extent vocational instruction, as an alternative to academic curricula, ameliorates course failure and assists in dropout prevention. Student participation in work experience programs also had a sizeable positive impact on student performance .

On average, students with disabilities who remained in high school for four grade levels missed nearly 3 weeks of school per year. Students not assigned a grade level missed 16 days per year. Absenteeism levels varied widely. Approximately 50 percent of students with disabilities missed 10 or fewer days of school per year. Between 21 and 25 percent missed 4 weeks or more of the typical 39-week school year. Average absenteeism differed significantly for students in different disability categories. Students with SED or other health impairments missed more school than their peers in most other disability categories. Ethnic group membership also appears strongly related to absenteeism (Table 3.6).

Students with disabilities who completed 4 years of high school earned a cumulative GPA of 2.3, compared to a national average of 2.6 earned by students in the 1980 sophomore class. Students in different disability categories earned quite different grades. Students who were deaf or hard of hearing or with orthopedic impairments consistently earned the highest GPAs and had the lowest number of course failures. Students with learning disabilities or serious emotional disturbance tended to earn lower GPAs and to fail more often. Sixty-two percent of students with disabilities failed at least one class while in secondary school.

Approximately 30 percent of students with disabilities enrolled in high school failed to complete secondary schooling. In addition, earlier NLTS findings showed that approximately 8 percent of students with disabilities dropped out of school before enrolling in ninth grade. Factors influencing the likelihood of completing high school included disability category, ethnic background, and household income. Table 3.9.

During the 1992-93 school year, 402,668 children and youth ages 6 through 21 identified as having SED were served under the Part B and Chapter 1 (SOP) programs. Students with SED accounted for 8.7 percent of all children who received special education services.

The number of children identified with SED has increased by more than 120,000 since the 1976-77 school year, and increased 1 percent between 1991-92 and 1992-93. Among all students with disabilities served, the percent with SED served under Part B has increased from 7.5 percent in 1976-77 to 8.3 percent in 1992-93. Identification rates for students with SED vary widely among the States.

Students with SED have lower grades and higher dropout reates than any other group of students with disabilities. About 17 percent of youth with SED go on to college compared with 53 percent of students without disabilities. Students with SED also have difficulty maintaining jobs. Twenty percent are arrested at least once before they leave school, and 37 percent are arrested within a few years of leaving school. By 2 years after school exit, 2.4 percent of students with SED are living in a correctional facility, compared with 0.3 percent of all youth with disabilities.

The National Center on Educational Outcomes (NCEO), with funding through IDEA, has been working since 1990 to address issues related to assessing educational results for students with disabilities. Below are some of the results and planned activities of the NCEO:

- NCEO worked with a broad range of stakeholders to develop a conceptual model of educational outcomes along with indicators within eight domains. In general, there was considerable overlap between the NCEO model and expected results in a sample of 17 States, indicating that many States are already emphasizing educational results for students with disabilities.

- A comparison of the NCEO conceptual model with data elements in 13 of the nearly 30 national data collection programs that collect information potentially related to the results identified in the NCEO model show high levels of correspondence. Unfortunately, because students with disabilities are often excluded from the assessments or provided inadequate accommodations, the national data collection programs provide little useful data on the educational results of students with disabilities. Another barrier to use of the data is that terminology for and grouping of students with disabilities were inconsistent from program to program (Table 5.6).

- Students with disabilities are disproportionately excluded from both State and national assessments for a host of reasons. Guidelines about inclusion and exclusion, where they exist, are inconsistently applied. Students may be excluded for reasons that are only incidental to their disability -- for example, telephone surveys usually exclude people who are deaf or use telecommunication devices. National education surveys often do not include special schools. On some school sampling rosters, all students within a specific category were excluded. Many large-scale assessment programs allow exclusion of students who might experience discomfort during testing, thus excluding a substantial proportion of students with mental, emotional, and/or

Table 3.6 Average Days Absent from School

Student Characteristics	Average Days Absent in Grade: 9	10	11	12	9 through 12
All disabilities[a]	14.8 (.9)	15.0 (.7)	16.4 (.9)	14.5 (.6)	13.1 (.6)
Specific learning disability	14.2 (1.2)	14.5 (1.0)	16.6 (1.0)	14.7 (.9)	13.4 (.8)
Serious emotional disturbance	17.9 (2.2)	18.1 (1.9)	19.7 (2.1)	17.9 (1.6)	15.3 (1.5)
Speech or language impairment	11.0 (2.3)	12.6 (1.6)	12.5 (2.0)	11.4 (1.1)	10.5 (1.2)
Mental retardation	16.3 (2.5)	15.3 (1.4)	15.9 (1.5)	13.3 (1.1)	11.7 (1.0)
Visual impairment	11.8 (1.5)	13.0 (1.5)	11.9 (1.4)	12.8 (1.3)	11.2 (1.1)
Hard of hearing	10.8 (1.1)	10.6 (.9)	12.4 (1.2)	11.4 (.9)	10.6 (.8)
Deafness	9.5 (1.2)	10.1 (1.2)	12.8 (1.8)	11.5 (1.2)	10.7 (1.1)
Orthopedic impairment	13.5 (1.7)	16.6 (1.9)	13.2 (1.4)	13.1 (1.2)	12.7 (1.0)
Other health impairment	16.3 (2.5)	21.5 (3.3)	18.0 (2.1)	17.7 (2.1)	15.3 (2.4)
Multiple disabilities	14.6 (2.9)	14.6 (3.2)	14.0 (2.5)	10.9 (1.7)	11.5 (1.8)
Ethnic background					
White	12.3 (1.0)	13.3 (9.7)	15.1 (1.0)	13.2 (.7)	12.2 (.7)
African American	18.6 (2.2)	18.6 (1.8)	18.8 (2.2)	19.1 (2.0)	16.5 (1.8)
Hispanic	18.8 (4.2)	15.8 (4.4)	14.7 (3.8)	13.9 (3.1)	11.2 (2.2)
Annual household income					
<$12,000	18.8 (2.4)	20.0 (2.0)	20.2 (2.2)	16.9 (1.8)	16.8 (1.6)
$12,000-$25,000	14.9 (1.6)	15.9 (1.6)	16.8 (1.8)	14.5 (1.3)	13.5 (1.6)
>$25,000	10.9 (1.2)	11.2 (1.0)	12.9 (1.2)	11.7 (.7)	10.4 (.7)

--Continued

Table 3.6 (cont'd)

Student Characteristics	Average Days Absent in Grade: 9	10	11	12	9 through 12
Samples sizes:					
All disabilities[a]	1,900	1,979	1,985	2,442	1,692
Specific learning disability	383	391	416	522	336
Serious emotional disturbance	186	197	166	208	132
Speech or language impairment	172	171	174	232	162
Mental retardation	300	295	290	348	217
Visual impairment	179	189	180	222	162
Hard of hearing	231	258	259	319	248
Deafness	116	122	123	162	119
Orthopedic impairment	177	179	191	233	167
Other health impairment	98	113	124	132	98
Multiple disabilities	55	59	57	58	47
Ethnicity: White	1,098	1,149	1,202	1,492	1,707
Ethnicity: African American	371	378	333	394	280
Ethnicity: Hispanic	131	149	148	166	124
Income <$12,000	361	364	354	416	290
Income $12,000-$25,000	404	431	447	526	379
Income >$25,000	712	756	780	970	703

[a] Each grade level sample includes all students with data for that grade level, whether or not data exist for those same students for other grade levels. The sample for the cumulative measures on tables in this chapter is made up of those students for whom data were available for all four high school grade levels. Students not assigned to grade levels are not included here because they often did not earn academic credits.

Standard errors are in parentheses.

Source: National Longitudinal Transition Study

BEST COPY AVAILABLE

Table 3.9 Dropout Rate, by Disability Category

Percentage Dropping Out In:	Primary Disability Category:										
	All Disabilities[a]	Specific Learning Disability	Serious Emotional Disturbance	Speech or Language Impairment	Mental Retardation	Visual Impairment	Hard of Hearing	Deafness	Orthopedic Impairment	Other Health Impairment	Multiple Disabilities
9th grade	5.3 (.7)	4.4 (.9)	8.6 (1.8)	6.1 (1.7)	7.3 (1.4)	1.8 (1.0)	3.5 (1.1)	1.1 (.9)	1.3 (.8)	5.4 (1.9)	.7 (1.1)
Sample size	4,368	889	475	396	635	374	522	262	421	270	118
10th grade	6.6 (.8)	5.5 (1.1)	14.9 (2.4)	3.8 (1.4)	7.4 (1.5)	4.7 (1.6)	2.5 (1.0)	.5 (.6)	3.2 (1.2)	7.5 (2.3)	1.7 (1.8)
Sample size	4,158	848	431	369	590	367	505	259	413	254	116
11th grade	9.8 (1.0)	9.6 (1.4)	16.2 (2.7)	7.1 (1.9)	9.5 (1.7)	3.4 (1.4)	4.7 (1.4)	5.9 (2.1)	4.1 (1.4)	11.4 (2.9)	7.3 (3.5)
Sample size	3,917	794	368	351	550	350	491	258	400	235	114
12th grade	8.9 (1.0)	9.7 (1.5)	16.0 (2.9)	6.1 (1.9)	5.5 (1.4)	2.2 (1.1)	3.3 (1.2)	3.5 (1.7)	4.4 (1.5)	4.7 (2.1)	1.5 (1.7)
Sample size	3,528	699	305	319	488	329	465	239	370	202	106
Cumulative	29.9 (1.0)	28.5 (2.0)	48.1 (3.1)	23.4 (2.9)	29.9 (2.5)	12.1 (2.4)	14.9 (2.2)	11.3 (2.8)	13.5 (2.4)	27.4 (3.8)	13.5 (4.5)
Sample size	4,399	897	483	398	643	375	523	263	420	271	120

a/ All disabilities includes youth in each of the 11 Federally defined disability categories. Percentages are reported separately only for categories with at least 15 students.

Standard errors are in parentheses.

Source: National Longitudinal Transition Study

BEST COPY AVAILABLE

Table 5.6 Correspondence between NCEO Models and Measures in National Data Collection Programs

	Data Collection Program[a]												
NCEO Domain	CPS	HSTS	MF	NAEP	NALS	NCS	NELS	NHES	NHIS	NHSDA	NLTS	NSFG	YRBS
A. Presence and Participation		X	X	X	X		X	X	X	X	X	X	X
B. Accommodation and Adaptation							X				X		
C. Physical Health			X				X		X	X	X		X
D. Responsibility and Independence			X		X		X	X	X		X	X	X
E. Contribution and Citizenship			X		X		X			X	X		
F. Academic and Functional Literacy		X		X	X		X				X		
G. Personal and Social Adjustment			X	X			X				X		X
H. Satisfaction			X				X						

a/ CPS = Current Population Survey, March Supplement
HSTS = High School Transcript Study
MF = Monitoring the Future
NAEP = National Assessment of Educational Progress
NALS = National Adult Literacy Survey
NCS = National Crime Survey
NELS = National Education Longitudinal Study
NHES = National Household Education Survey
NHIS = National Health Interview Survey
NHSDA = National Household Survey of Drug Abuse
NLTS = National Longitudinal Transition Study
NSFG = National Survey of Family Growth
YRBS = Youth Risk Behavior Survey

Source National Center on Educational Outcomes (NCEO)

BEST COPY AVAILABLE

physical disabilities. Finally, exclusion may occur if administrators feel the students' test scores would lower a school's or district's performance level.

- Disaggregation of accurate information about results for students with disabilities is difficult. Variations in how students with disabilities are defined and how their educational results are reported exist between State programs, between State and national data collection programs, among the various types of national programs, and within the national programs.

- To encourage schools and States to report results for all special education students, NCEO has identified four major steps for creating a results-based reporting system at the State, school district, or school level: (1) establish a solid foundation for the effort; (2) develop, adopt, or adapt a model; (3) establish a data collection and reporting system; and (4) install the system.

Program Administration

For FY 1993, $2.053 billion was distributed to States for the provision of special education to children with disabilities through IDEA, Part B, with an average allocation of $411 per child.

Combined Part B and Chapter 1-Handicapped funding has increased from about $373 million in 1977 to $2.173 billion in FY 1993. However, the allocation in constant dollars (base year 1977) has risen at a much slower pace. The per-child allocation under Part B of $411 for FY 1993 represents $169 in constant dollars, slightly more than the 1978 level of $156.

OSEP reviews plans submitted by States on a staggered three-year schedule, to assure that SEA policies and procedures are consistent with the requirements of IDEA, Part B. State Plans must be approved by the Secretary of Education before funds can be allocated to the State. OSEP provided substantial technical assistance to States submitting plans in 1993 for FYs 1994-1996 and to States submitting State Plans for FYs 1995-1997 in 1994. The centerpiece of this technical assistance was the State Plan Academies that provided training to key staff members from SEAs that would be submitting plans.

Twenty-one States and Outlying Areas submitted plans for the three-year period covering FYs 1994-1996. Across these States, a number of concerns were raised during the State Plan review process; issues identified most frequently were related to a State's Comprehensive System of Personnel Development (CSPD) and placement of students in the least restrictive environment.

OSEP conducts on-site monitoring reviews of States and territories receiving financial assistance under Part B about once every 4 years as part of the Federal program review process. During the 1992-93 school year, on-site monitoring reviews were conducted in 15 States and Outlying Areas. Eleven draft monitoring reports and eight final reports were issued during FY 1993. Two concerns were noted in all eight final reports. These were related to SEA approval of LEA applications that did not meet all Federal application requirements, and incomplete or ineffective SEA monitoring procedures for determining compliance of public agencies providing educational services to children with disabilities.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Education of Children with Disabilities Act (Washington, DC: U.S. Department of Education, 1994).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Lois Taylor, (202) 205-8830
Program Studies	:	Susan Thompson-Hoffman, (202) 401-3630

PRESCHOOL GRANTS FOR CHILDREN WITH DISABILITIES
(CFDA No. 84.173)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part B, Section 619 (20 U.S.C. 1419) (expires September 30, 1995)

Purpose: To be eligible for the formula grant program, beginning in FY 1991, a State must provide a free appropriate public education (FAPE) to all preschool children, ages 3 through 5, with disabilities.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$12,500,000	1987	$180,000,000
1980	25,000,000	1988	201,054,000
1981	25,000,000	1989	247,000,000
1982	24,000,000	1990	251,510,000
1983	25,000,000	1991	292,766,000
1984	26,330,000	1992	320,000,000
1985	29,000,000	1993	325,773,000
1986	28,710,000	1994	339,257,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In the 1992-1993 school year, 441,089 children with disabilities ages 3 through 5 were counted as the basis for Preschool Grants program funds.

By FY 1991, States had to provide FAPE to all children in this age range or lose eligibility for funding under this program, funding for the same age range under the IDEA Grants to States program and the Chapter 1 Handicapped program, and funding for certain discretionary grants under the IDEA pertaining solely to children ages 3 through 5.

Services

The services provided by States under the Preschool Grants program are special education and related services authorized under Part B of the IDEA needed by preschool children with disabilities consistent with the requirements of Part B of the IDEA. State and local education agencies may, if consistent with State policy, use Preschool Grants funds to provide free appropriate public education to two-year-old children with disabilities who will reach age 3 during the school year,

Program Administration

The program awards formula grants to States, the District of Columbia, Puerto Rico, and five Outlying Areas on the basis of their proportionate share of the total number of children ages 3 through 5 who are counted for the Part B child count on December 1 of the fiscal year for which funds have been appropriated. The statute limits the amount of the Preschool grant for each child to a maximum of $1,500. Each child, ages 3 through 5, counted for the Par B child count generates an allocation under the Grants to States program and the Preschool Grants program.

The State education agency administers the Preschool Grants program. States are permitted to set aside up to 20 percent for State activities plus up to 5 percent for administration of the grant. The remaining funds are used for subgrants to local education agencies and intermediate education units, based on their proportionate share of the number of children with disabilities ages 3 through 5 who receive special education and related services.

States are permitted to use up to 20 percent of their set-aside funds to develop a statewide comprehensive service delivery system for children ages birth through 5. These activities may include personnel development, establishing interagency agreements, and designing approaches to meet unique service delivery needs. States also may use funds from the 20 percent set-aside for direct and support services to children with disabilities ages 3 through 5, and at the State's discretion, to provide FAPE to 2-year old children who will reach age 3 during the school year. Children must be 3 years old on December 1 in order to be counted under Part B.

III. SOURCES OF INFORMATION

1. Fourteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Act (Washington, DC: U.S. Department of Education, 1992).

2. Program files.

IV. PLANNED STUDIES

- Early Intervention Effectiveness Institute: the goal of this institute is to determine the long-term effects and costs of early intervention with children with disabilities.

- Early Childhood Research Institute-Substance Abuse: this institute, funded through a cooperative agreement, is operated by a consortium of the Juniper Garden's Children Project (JGCP) of the University of Kansas (JGCP will serve as the primary site for the Institute), the Institute on Community Integration at the University of Minnesota, and the University of South Dakota's University Affiliated Program. Five research projects are underway to address the Institute's objectives. The studies are conceptually integrated, and each informs and provides direction for the studies that follow. The five studies are: (1) Longitudinal Study of Children Prenatally Exposed to Drugs; (2) Longitudinal Study of Children Prenatally Exposed to Alcohol; (3) Development and Validation of New and Adapted Interventions to Meet the Unique Needs of Children Who Were Prenatally Exposed to Drugs and Alcohol; (4) Coordination and Continuity of Services and Care; and (5) Dissemination-Translating Interventions and Increasing the Integrity of Interventions Provided in Diverse Settings.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : James Hamilton, (202) 205-9084

Program Studies : Barbara Vespucci, (202) 401-3630

HANDICAPPED REGIONAL RESOURCES AND FEDERAL CENTERS PROGRAM
(CFDA No. 84.028)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), as amended, Part C, Section 621, P.L. 101-476, (20 U.S.C. 1421) (expires September 30, 1995).

Purpose: To establish and operate regional resource centers (RRCs) to provide consultation, technical assistance, and training to State education agencies (SEAs) and through such agencies, to local education agencies (LEAs) and other appropriate public agencies providing special education, related services, and early intervention services; and to establish and operate a national coordination technical assistance center focusing on national priorities.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 5,000,000	1986	$6,029,000
1970	3,000,000	1987	6,700,000
1975	7,087,000	1988	6,415,000
1980	9,750,000	1989	6,338,000
1981	2,950,000	1990	6,510,000
1982	2,880,000	1991	6,620,000
1983	2,880,000	1992	7,000,000
1984	5,700,000	1993	7,218,000
1985	6,000,000	1994	7,218,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Regional Resource and Federal Centers Program was established to provide support for a variety of activities to assist State education agencies and, through those SEAs, to local education agencies and other appropriate agencies providing special education, related services, and early intervention services to infants, toddlers, children, and youth with disabilities and their families.

Services

The national focus of the Regional Resource Center (RCC) program is to support changes in State policies, procedures, and practices which will positively affect local programs and services to children with disabilities and their families. This mission is achieved by assisting the region's State education agencies to: (1) identify and analyze persistent problems that interfere with the provision of quality services; (2) gain access to current special education research, technology, and practices for solving identified problems; (3) link with other States to assist in developing solutions to common problems; (4) adopt new technologies and practices through consultation and the provision of relevant information; and (5) improve the cooperation between professionals and parents of children with disabilities.

The centers produce and disseminate products within their region that should impact upon the State agencies they will serve. These products are designed to improve services to children with disabilities, address legislative mandates, help reduce duplication of services, fill gaps in services, enhance the sharing of information among cooperating service providers, and maintain continuity in services and pool resources during a time when such resources are becoming more limited. Each center serves 7 to 14 States and Territories. The centers are addressing issues, such as (1) meeting the needs of a diverse groups of students with disabilities including, but not limited to, minority and medically fragile children, (2) serving children with disabilities in general education settings, and (3) improving the outcomes for students with disabilities as they make the transition from school to the work place.

A major support to this network is the Federal Resources Center (FRC) which maintains communication with technical assistance projects funded by the Department's Office of Special Education Programs and provides information on national issues and trends, current technical assistance activities, and promising special education practices in order to enhance State capacity in ensuring better results for children.

Program Administration

There are six Regional Resources Centers that provide services. These centers are administered through cooperative agreements and located at the following colleges and universities: Trinity College of Vermont, Burlington, VT; University of Kentucky Research Foundation, Lexington, KY; Florida Atlantic University, Boca Raton, FL; Ohio State University Research Foundation, Columbus, OH; Utah State University, Logan, UT; and University of Oregon, Eugene, OR. The FRC is funded through a contract with the Academy for Educational Development, Washington, DC.

III. SOURCES OF INFORMATION

1. Fourteenth Annual Report to Congress on the Implementation of the IDEA (Washington, DC: U.S. Department of Education, 1992).

2. Program files.

IV. PLANNED STUDIES

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Marie Roane (202) 205-4623

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

SERVICES FOR CHILDREN WITH DEAF-BLINDNESS
(CFDA No. 84.025)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part C, Section 622 (20 U.S.C. 1422) (expires September 30, 1995).

Purpose: The purpose of the Services for Children with Deaf-Blindness program is to help State education agencies, local education agencies, and early intervention agencies assure special education, related services, and early intervention services to children with deaf-blindness, to facilitate the transition from educational to other services, and to support related research, demonstration, dissemination, and other projects.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$1,000,000	1986	$14,355,000
1970	4,000,000	1987	15,000,000
1975	12,000,000	1988	14,361,000
1980	16,000,000	1989	14,189,000
1981	16,000,000	1990	14,555,000
1982	15,360,000	1991	12,849,000
1983	15,360,000	1992	13,000,000
1984	15,000,000	1993	12,832,000
1985	15,000,000	1994	12,832,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Eligible applicants are public and nonprofit private agencies, institutions, and organizations, including Indian tribes, the Bureau of Indian Affairs of the Department of Interior (if acting on behalf of schools operated by the Bureau for children and students on Indian reservations), and tribally controlled schools funded by the Department of Interior.

Services

This program supported 49 State and multi-State projects, two technical assistance projects, a national clearinghouse, and 12 demonstration and other awards. There are three primary ways in which funds are used in the program:

- Grants to single and multi-State projects to support (1) early intervention, special education, and related services as well as vocational and transitional services to infants, toddlers, children, and youth with deaf-blindness whom States are not otherwise obligated to serve and (2) technical assistance to agencies providing such services.

- Cooperative agreements providing technical assistance to agencies and organizations regarding transitional services for deaf-blind adolscents. These awards are directed primarily at capacity building.

- The Clearinghouse on Children Who are Deaf-Blind provided indepth responses to 489 inquires. Areas of greatest interest included assessment, assistive devices, communication, curriculum, medical issues, and available resources. Information developed and disseminated by the Clearinghouse included resources lists, newsletters, consumer and family-related information, and providing linkages with networks and databases.

- Research and demonstration grants supporting activities in a wide variety of areas including validation and utilization of exemplary practices and the development of innovative interventions.

- A symposium was conducted to identify critical issues, best practices and recommend future directions in the provision of education and related services to children with deaf-blindness and to explore ways in which resources could be used at the Federal, State, and local levels to address these topics.

III. SOURCES OF INFORMATION

1. Fourteenth Annual Report to Congress on Implementation of the IDEA (Washington, DC: U.S. Department of Education, 1992).

2. Proceedings of the National Symposium on Children Who are Deaf-Blind (J.W. Reiman and P.A. Johnson, Eds, Monmouth, OR: Teaching Research Publications).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Charles W. Freeman, (202) 205-8165

Program Studies : Barbara Vespucci, (202) 401-3630

EARLY EDUCATION PROGRAM FOR CHILDREN WITH DISABILITIES
(CFDA No. 84.024)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 102-119, as amended, Part C, Section 623 (20 U.S.C. 1423) (expires September 30, 1995).

Purpose: The purpose of the Early Childhood Education program is to improve special education and early intervention services for infants, toddlers, and children with disabilities, from birth through age eight. The program develops new knowledge in the field of early childhood education, supports development and testing of interventions, and disseminates broadly the information gained to help program managers and teachers improve their programs and services. Types of activities funded include: research, development, outreach, demonstration, training, technical assistance, and dissemination. Awards are made to public and private agencies and organizations, typically for three to five years.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 945,000	1988	23,428,000
1970	4,000,000	1989	23,147,000
1975	14,000,000	1990	23,766,000
1980	20,000,000	1991	24,202,000
1985	22,500,000	1992	25,000,000
1986	22,968,000	1993	25,167,000
1987	24,470,000	1994	25,167,000

II. PROGRAM INFORMATION AND ANALYSIS

Services

The program supported a wide variety of activities including the following:

- **Five research institutes:**
  1. longitudinal studies of the effects and costs of early intervention (Utah State University);
  2. identification of factors affecting the provision of community services to infants and toddlers and their families under the Part H program (University of North Carolina at Chapel Hill);
  3. development and field-testing of intervention strategies to improve the integration of handicapped children into regular preschool, childcare, prekindergarten, and kindergarten programs (Allegheny-Singer Research Institute);

4. development of new or improved organizational structures for the identification, referral, and intervention process (Children's Hospital Corporation, Boston, MA); and
5. development and evaluation of intervention strategies for children who were neonatally exposed to drugs and children who were born with fetal alcohol syndrome (University of Kansas).

- **Three directed research studies of the effects of language, motor, or social skills interventions.**

- **Four experimental projects investigating alternative interventions and approaches.**

- **Sixty-three demonstration projects in five areas:**
  1. innovative inservice training programs for personnel serving infants, toddlers, and preschool-aged children with disabilities;
  2. integrated preschool services;
  3. methodology for serving infants and toddlers with specific disabilities;
  4. field-initiated model demonstrations in early childhood education; and
  5. tracking systems for at-risk children.

- **Forty-seven outreach/dissemination projects with documented model programs for dissemination and replication in other sites.** These projects transfer the findings of research and model demonstration activities into the service delivery system.

- **Twenty-nine inservice training projects.** These projects are designed to train college and university faculty members who are training personnel currently providing early intervention services.

- **Technical assistance.** A national early childhood technical assistance project is funded at the University of North Carolina at Chapel Hill and is designed to:
  1. help State agencies develop and implement plans for delivering services to children with disabilities from birth through age five;
  2. provide community agencies with help to develop the capacity to provide high quality services;
  3. facilitate the exchange of research and "best-practice" information; and
  4. help discretionary projects achieve their objectives and link them with States requesting new models and materials.

Program Administration

This program administers competitive discretionary grants, cooperative agreements, and contracts.

III. SOURCES OF INFORMATION

1. Fifteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act (Washington, D.C.: U.S. Department of Education, 1993).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Jim Hamilton, (202) 205-9084
Program Studies	:	Nancy Rhett, (202) 401-3630

PROGRAM FOR CHILDREN WITH SEVERE DISABILITIES
(CFDA No. 84.086)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part C, Section 624 (20 U.S.C. 1424) (expires September 30, 1995).

Purpose: To improve early intervention, special education, related services and integration for children with severe disabilities by supporting research, development, demonstration, training, dissemination and Statewide systems change activities that address their needs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$ 2,247,000	1987	5,300,000
1975	2,826,000	1988	5,361,000
1980	5,000,000	1989	5,297,000
1981	4,375,000	1990	5,819,000
1982	2,880,000	1991	7,869,000
1983	2,880,000	1992	8,000,000
1984	4,000,000	1993	9,330,000
1985	4,300,000	1994	9,330,000
1986	$4,785,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The targeted population is children with severe disabilities.

Services

In FY 1993, 16 new demonstration projects were awarded to serve children with severe disabilities; 26 continuation projects were also supported.

Awards made in FY 1993 included grants and cooperative agreements to support activities and services in the following general categories: State-wide Systems Change (two new cooperative agreements and 12 continuation cooperative agreements); Outreach: Serving Children with Severe Disabilities in Integrated Environments (three new grants and seven continuation grants including two forward-funded in prior year); Model Inservice Training

Projects (four new grants and three continuation grants); Developing Innovations for Educating Children with Severe Disabilities Full-time in General Education Settings (three new grants, including two forward-funded for next year, and five continuation grants); and Social Relationships Research Institute for Children and Youth with Severe Disabilities (one continuation cooperative agreement).

These projects provide a variety of services including inservice training to teachers, related service personnel and administrators, local education agencies, and State education agencies; and testing of solutions to specific problems in the delivery of special education and related services to students with severe disabilities.

Almost half ($4,413,000) of FY 1993 funding supported projects which promote State-wide systems change. These projects, in conjunction with IDEA, Part B State's plan, include activities to improve the quality of special education and related services in the State for children and youth with severe disabilities (including children with deaf-blindness), and to change the delivery of these services from segregated to integrated environments. The projects must identify resources available in the State and must establish services needed to improve services in regular education settings.

Program Administration

Program efforts in FY 1993 continued to focus on improving the capacity of State education systems to serve children with severe disabilities in less restrictive environments and on improving interventions in these environments. Program strategies continued to include priorities which support research activities, validated practices, demonstrations based on research methodology, use of effective educational practices, and dissemination of best practices.

State-wide Systems Change grantees are required to evaluate the effectiveness of their activities, including their effectiveness in increasing the number of children in regular school settings alongside their same-aged non-disabled peers. They must also evaluate and disseminate information about the project's outcomes.

Management Improvement Strategies

Programs continued to pursue management improvement strategies in FY 1993, including:

o disseminating project information through the development and ongoing use of a data-based information system. This information is accessible to all projects through the Federal Regional Resource Center, as well as the central office. In addition, an annual conference was held which focused on strategies for dissemination of project information.

- providing guidance to grantees in the preparation of interim and final project reports, review of these reports and referral for their publication in the Council for Exceptional Children/Education Research Information Center (CEC/ERIC).
- providing specialized assistance in designing evaluation plans and instrumentation.

III. SOURCES OF INFORMATION

1. Fourteenth Annual Report to Congress on Implementation of the IDEA (Washington, DC: U.S. Department of Education, 1993).
2. Evaluation of the IDEA Discretionary Programs Goal Evaluation: Final Field Activities Report: Program for Children with Severe Disabilities (Washington, DC: COSMOS Corporation, July 1993).
3. The Second National Symposium on Effective Communication for Children and Youth With Severe Disabilities: Topic Papers, Reader's Guide and Videotape (McLean, VA: Interstate Research Associates, May 1993).
4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Charles Freeman, (202) 205-8165

Program Studies : Lenore Garcia, (202) 401-3630

POSTSECONDARY EDUCATION PROGRAM FOR INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.078)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part C, Section 625 (20 U.S.C. 1424a) (expires September 30, 1995).

Purpose: This program supports the development, operation, and dissemination of specially designed model programs of postsecondary, vocational, technical, continuing or adult education for individuals with disabilities. Two types of projects are funded: (1) grants to four regional projects for model comprehensive support services and Statewide, regional, and national outreach activities that serve persons who are hearing impaired (deaf and hard of hearing); and (2) demonstrations and special projects that develop innovative models of educational programs for the delivery of support services and programs for postsecondary and adult students with disabilities.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$2,400,000	1988	5,840,000
1981	2,950,000	1989	5,770,000
1982	2,832,000	1990	6,510,000
1983	2,832,000	1991	8,559,000
1984	4,000,000	1992	9,000,000
1985	5,300,000	1993	8,839,000
1986	5,264,000	1994	8,839,000
1987	$5,900,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Awards are authorized to State education agencies, institutions of higher education, junior and community colleges, vocational and technical institutions, and other non-profit education agencies, for the purpose of developing, operating, and disseminating programs for individuals with disabilities.

Services

In FY 1993, grants awarded included four for the regional programs for the deaf, and 45 for postsecondary demonstration projects (15 new grants, 23 continuation grants, and 7 forward-funded from prior year). In addition, one contract continued for "Evaluation and Dissemination of Effective Practices," two Minority Outreach Centers were jointly funded with other IDEA programs, and several peer review contracts were awarded.

Program Administration

In FY 1993, priority continued to be given to projects that enhanced the role and capacity of career placement offices to provide pre-employment and employment opportunities for students with all disabilities. These projects promote successful vocational outcomes through inservice staff training, school and community collaboration, expanded work-study opportunities, and technical assistance.

Four Regional Programs for the Deaf provide model specially designed or modified programs of support services which enable deaf students who are from a multi-State region to participate in regular postsecondary offerings alongside their non-disabled peers.

Postsecondary Demonstration Projects support model demonstrations that enhance the role and capacity of career placement offices to provide pre-employment and employment opportunities for students with disabilities in community and four-year colleges, universities, technical and vocational institutes, and adult and continuing education programs.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Sara Conlon, (202) 205-8157

Program Studies : Lenore Garcia, (202) 401-3630

TRAINING PERSONNEL FOR THE EDUCATION OF INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.029)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part D, Sections 631, 632, 634 and 635, P.L. 91-230, as amended (20 U.S.C. 1431, 1432, 1434 and 1435) (expires September 30, 1995).

Purpose: This program funds grants to improve the quality and reduce shortages of personnel providing special education, related services, and early intervention services to children with disabilities.

Grants are awarded to institutions of higher education, State education agencies, and other appropriate nonprofit organizations: (1) to train teachers and other education personnel, administrators, related services personnel, early intervention personnel, parents, and volunteers; (2) to develop and demonstrate new approaches to personnel training; (3) to support partnerships for personnel training; and (4) to provide assistance to State education agencies in providing a comprehensive system of special education personnel development.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$19,500,000	1988	66,410,000
1970	36,610,000	1989	67,095,000
1975	37,700,000	1990	71,000,000
1980	55,375,000	1991	69,288,099
1985	61,000,000	1992	80,800,000
1986	61,248,000	1993	90,122,537
1987	67,730,000	1994	91,339,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Numbers of Special Education Teachers: States, the District of Columbia, and insular areas reported that 297,490 special education teachers and 295,822 non-teaching special education staff were employed for the 1990-91 school year (See Table 1). Teacher aides constituted 55 percent of the non-teaching staff.

Table 1 — Number of Special Education Personnel to Serve Children with Disabilities, Ages 6-21 (School Year 1990-91)

State	Special Education Teachers		School Staff (non-teachers)	
	Employed	Needed	Employed	Needed
Alabama	4,822	410	2,857	429
Alaska	815	51	948	78
Arizona	3,608	111	3,715	136
Arkansas	2,798	70	1,610	57
California	24,113	1,770	29,963	1,556
Colorado	3,413	59	3,644	116
Connecticut	4,066	38	5,232	53
Delaware	936	90	757	63
District of Columbia	780	34	1,027	66
Florida	12,955	2,252	12,862	1,145
Georgia	7,498	280	6,454	285
Hawaii	1,159	180	1,432	61
Idaho	966	65	1,289	154
Illinois	17,017	198	20,578	180
Indiana	5,562	650	5,339	475
Iowa	4,363	574	4,116	53
Kansas	3,160	63	4,302	39
Kentucky	4,510	330	3,159	421
Louisiana	6,385	1,549	7,506	338
Maine	1,889	142	2,326	126
Maryland	6,099	79	6,015	84
Massachusetts	7,769	410	8,387	0
Michigan	12,852	536	5,468	287
Minnesota	6,679	378	7,256	156
Mississippi	3,484	256	1,506	83
Missouri	6,490	624	4,084	0
Montana	994	148	1,037	246
Nebraska	2,022	34	1,659	15
Nevada	1,134	105	796	103
New Hampshire	1,703	340	2,989	557
New Jersey	14,406	499	15,170	278
New Mexico	2,843	483	3,151	187
New York	28,302	6,304	25,002	0
North Carolina	6,391	896	5,622	1,612
North Dakota	842	39	932	45
Ohio	11,772	469	5,739	611
Oklahoma	3,929	172	2,722	73
Oregon	2,477	137	2,070	202
Pennsylvania	12,484	1,993	9,473	736
Puerto Rico	2,649	37	2,032	545
Rhode Island	1,297	14	1,520	12
South Carolina	4,184	495	3,547	482
South Dakota	870	201	1,218	329
Tennessee	4,761	226	3,709	174
Texas	16,133	1,069	30,666	435
Utah	1,978	147	2,212	148
Vermont	851	22	1,529	7
Virginia	7,298	456	7,321	625
Washington	4,232	170	3,801	164
West Virginia	1,885	328	1,963	107
Wisconsin	6,467	734	5,784	98
Wyoming	771	27	1,240	331
American Samoa	44	10	21	5
Guam	146	43	304	70
Northern Marianas	26	1	73	5
Virgin Islands	115	0	253	3
Bur. of Indian Affairs	297	117	433	258
Total, U.S. and Insular Areas	297,490	26,934	295,822	14,906

Source: III.1.

Table 2
Full and Part-time Students Enrolled in Preservice Training

Type of Special Education Training	Number of Students	Percentage of All Students
Adaptive physical education	335	2.2
Audiologist	303	2.0
Cross-categorical	997	6.0
Deaf-blindness	92	0.6
Deafness	382	2.5
Hard of hearing	263	1.8
Mental retardation	811	5.4
Multiple disabilities	570	3.8
Occupational therapist	318	2.1
Orthopedic impairments	95	0.6
Other health impairments	14	0.1
Other non-instructional staff	256	1.7
Other personnel	4,809	32.0
Paraprofessional	289	1.9
Physical therapist	234	1.6
Psychologist	160	1.1
School social worker	24	0.2
Serious emotional disturbance	814	5.4
Specific learning disabilities	740	4.9
Speech/language pathologist	2,750	18.3
Supervisor/administrator	104	0.7
Therapeutic recreation therapist	205	1.4
Visual impairments	428	2.8
Vocational education	117	0.8
Total	15,020	100.0

Source: III.1.

Students served: In FY 1991, 15,020 persons were enrolled as full-time or part-time students in preservice training. About half were studying education fields and half were studying fields in related services areas. Specific categories are shown in Table 2.

Funding: Most of the funding in FY 1993 was awarded to institutions of higher education for personnel training (78 percent); 10 percent was used for State education agency development and training activities; and 12 percent for special projects.

Grantees: A total of 884 awards were made: 721 grants to colleges and universities for personnel training, 105 grants for development and demonstration projects, and 57 grants to State education agencies. One award was made for a technical assistance project to provide support for the State personnel development activities.

Services

Training programs are usually in universities and typically support the costs of a project director/coordinator, student stipends and, in some cases, instructor salaries. All teacher training projects funded in recent years concentrate on preparing students for a baccalaureate or graduate degree in special education or related services areas. Projects have also been funded to develop related services personnel, teacher trainers, researchers, administrators, and other specialists.

The Special Projects competition supports projects to develop and demonstrate new approaches for preparing personnel to serve children with disabilities. This includes the preservice training of regular educators, and the preservice and inservice training of special education personnel, including classroom aides, related services personnel, and regular education personnel who serve children and youth with abilities. Project activities assisted under this priority include development, evaluation, and distribution of imaginative or innovative approaches to personnel prepration; development of materials to prepare personnel to educate children and youth with disabilities; and other projects of national significance. Projects included computer technology; infants, ages birth through 2; adapted physical education; corrections education; emotionally disturbed children; transition from school; parent training, learning, and training to work with assistive devices students exposed to drugs and alcohol.

State education agency grants support States in establishing and maintaining pre- and inservice training of special education and related service personnel. This program also supports recruitment and retention activities.

Outcomes

For school year 1990-91, projects reported that 5,997 students received degrees, including 237 who received doctorates. The number obtaining professional certification totalled 3,389.

Table 3
Number of Degree or Certification Recipients in ED-funded Personnel Development Programs

Type of Special Education Training	Number of Degree Students Getting Degrees	Number of Doctoral Students Getting Degrees	Number of Students Receiving Certification
Adaptive physical education	107	0	106
Audiologist	193	1	73
Cross-categorical	2,562	128	589
Deaf-blindness	8	0	5
Deafness	138	0	134
Hard of hearing	105	0	0
Mental retardation	189	2	228
Multiple disabilities	131	4	179
Occupational therapist	163	10	138
Orthopedic impairments	21	0	10
Other health impairments	12	0	5
Other non-instructional staff	36	2	8
Other personnel	501	18	440
Paraprofessional	7	0	35
Physical therapist	109	0	104
Psychologist	72	30	39
School social worker	2	0	1
Serious emotional disturbance	277	2	301
Specific learning disabilities	258	10	234
Speech/language pathologist	856	23	475
Supervisor/administrator	6	3	51
Therapeutic recreation therapist	69	1	69
Visual impairments	130	3	132
Vocational education	45	0	33
Total	5,997	237	3,389

Source: III.1.

BEST COPY AVAILABLE

III. SOURCES OF INFORMATION

1. Fifteenth Annual Report to Congress on Implementation of the Individuals with Disabilities Education Act (Washington, D.C.: U.S. Department of Education, 1993).

2 Program files.

3. State education agency reports.

4. Reports from personnel training grant recipients, 1991.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Norman Howe, (202) 205-9068

Program Studies : Nancy Rhett, (202) 401-3630

CLEARINGHOUSES FOR INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.030)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part D, Section 633, (20 U.S.C. 1433) (expires September 30, 1995).

Purpose: The purpose of the Clearinghouses for the Disabled Program is to support three clearinghouses that: (1) disseminate information and provide technical assistance to parents, professionals, and other interested parties; (2) provide information on postsecondary programs and services for individuals with disabilities; and (3) encourage students and professional personnel to pursue careers in the field of special education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 250,000	1986	$1,062,000
1970	475,000	1987	1,200,000
1975	500,000	1988	1,149,000
1980	1,000,000	1989	1,135,000
1981	750,000	1990	1,479,000
1982	720,000	1991	1,525,000
1983	720,000	1992	2,000,000
1984	1,000,000	1993	2,162,000
1985	1,025,000	1994	2,162,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program supports three clearinghouses aimed at providing information to parents, special education students, educational professionals for children and youth, and a wide range of educational, vocational, and independent living organizations.

The National Information Center for Children and Youth with Disabilities provides parents, professionals, and others with current and factual information regarding the diverse issues related to the education of children and youth with disabilities. Also, the project provides technical assistance and promotes the involvement of individuals with disabilities, their families, volunteers, and professionals in providing information to the general public. A major emphasis of this project is to develop and disseminate, in appropriate language and media, material to assist those families with low reading abilities which have children and youth with disabilities; families whose primary language is not English; and families that are in isolated sectors of the country where obtaining specific information for a particular child is difficult.

The National Clearinghouse on Postsecondary Education of Disabled Individuals provides information to the public on educational support services, procedures, policies, adaptations, and educational and training opportunities on college and university campuses, vocational technical schools, independent career schools, adult and continuing education programs, independent living centers, and other training entities after high school for youth and adults with disabilities. Information on the kinds of accommodations that enable full participation by persons with disabilities in regular as well as specialized postsecondary programs is also available.

The National Clearinghouse on Careers and Employment in Special Education provides information to the public on personnel, career opportunities, and training in special education. This clearinghouse collects and disseminates information on current and future needs for special education and related services personnel; disseminates information to high school counselors and others concerning career opportunities in special education and related services, location of programs, and various forms of financial assistance; identifies training programs for the various special education and related-services professionals around the country; provides technical assistance to institutions seeking to meet State and professionally recognized standards of professional preparation; and establishes a network among local and State education agencies and institutions of higher education concerning the supply of graduates and available openings.

Services

The three clearinghouses disseminate information concerning educational and career opportunities for persons with disabilities. In school year 1987-88, the clearinghouses responded to 58,000 requests for information; in school year 1988-89, some 80,000 requests; in school year 1989-90, 77,000 requests; and, since 1991, over 115,000 requests.

Networking activities performed by the three clearinghouses are accomplished by direct mailings, telecommunications, and conference participation.

Program Administration

The National Information Center for Children and Youth with Disabilities is operated by the Academy for Educational Development in Washington, D.C.; the National Clearinghouse on Postsecondary Education of Persons with Disabilities is operated by the American Council on Education, Higher Education and the Disabled (HEATH), Washington, D.C.; the National

Clearinghouse on Careers and Employment in Special Education is operated by the Council for Exceptional Children, Reston, VA:.

Outcomes

Public requests for information at the clearinghouses have doubled over the last four years (III.1.).

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Sara Conlon, (202) 205-8157
Program Studies	: Susan Thompson-Hoffman, (202) 401-3630

RESEARCH IN THE EDUCATION OF INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.023)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part E, Sections 641-643 (20 U.S.C. 1441-1443) (expires September 30, 1995).

Purpose: The purposes of this program are (1) to advance and improve the knowledge base and improve the practice of professionals, parents, and others providing early intervention, special education, and related services, including professionals in regular education environments, to provide children with disabilities effective instruction and enable them to learn successfully; and (2) to support research, surveys, or demonstrations relating to physical education or recreation, including therapeutic recreation, for infants, toddlers, children, and youth with disabilties.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1964	$ 2,000,000	1986	$16,269,000
1970	13,360,000	1987	18,000,000
1975	9,341,000	1988	17,233,000
1980	20,000,000	1989	17,026,000
1981	15,000,000	1990	19,825,000
1982	10,800,000	1991	20,174,000
1983	12,000,000	1992	21,000,000
1984	15,000,000	1993	20,635,000
1985	16,000,000	1994	20,635,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This research program is directed toward improving services for disabled infants, toddlers, children and youth, and providing key information to teachers, administrators, and stakeholders for disabled students.

Services

The research program sponsors multiple research programs including: (1) Field Initiated Research; (2) Student Initiated Research; (3) Initial Career Awards Program; (4) Advancing and Improving the Research Base; (5) Directed Research Projects (e.g., increasing participation in general education development programs among youth with disabilities; including children with disabilities as a part of systemic efforts to restructure schools).

Program Administration

The types of projects that may be supported under the program include, but are not limited to, research, development, and demonstration projects. In FY 1993, 82 new grants and contracts were awarded. Eligible applicants are State and local education agencies, institutions of higher education, and other public agencies and nonprofit private organizations. Profit-making organizations are allowed to receive awards only for contracts dealing with research related to physical education or recreation.

III. SOURCES OF INFORMATION

1. Intra-Departmental Reports, including: Individuals with Disabilities Education Act: Program Funded Activities, Fiscal Year 1993 (Washington, DC: U.S. Department of Education, Office of Special Education Programs, (OSEP), 1993).

2. Program files.

IV. PLANNED STUDIES

Program staff are conducting focus groups to develop a national agenda for research (Part E). Once the agenda is completed, it will be used to foster strategic planning of activities in the future. Under an FY 1993 study, OSEP's Division of Innovation and Development was validating the targets and developing vehicles for their expanded dissemination to broader audiences.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Doris Andres, (202) 205-8125

Program Studies : Ann Nawaz, (202) 401-3630

CAPTIONED FILMS, TELEVISION, DESCRIPTIVE VIDEO, EDUCATIONAL MEDIA FOR INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.026)

I. PROGRAM PROFILE

Legislation: The Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended (20 U.S.C. 1451, 1452 and 1454) (expires September 30, 1995).

Purpose: To promote the use of communications and educational media by persons with disabilities. The program primarily provides support for the captioning and distribution of films, videos, and captioning of television programs for persons who are deaf; descriptive videos for persons who are visually impaired; and the National Theater of the Deaf and other appropriate nonprofit organizations. These activities are intended to encourage the educational advancement of persons with disabilities and to provide them with enriched educational and cultural experiences.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$2,800,000	1986	$ 6,747,000
1970	6,500,000	1987	13,804,000
1975	13,250,000	1988	13,216,000
1980	19,000,000	1989	13,403,000
1981	17,000,000	1990	15,192,000
1982	11,520,000	1991	16,424,000
1983	12,000,000	1992	17,000,000
1984	14,000,000	1993	17,892,000
1985	16,500,000	1994	18,642,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program is targeted toward persons who are deaf or hard of hearing, blind or visually impaired, or who otherwise can benefit from special interventions to improve their use of the technology media. The number of people in the United States who meet these conditions is not known; however, it is estimated that 1.6 million are deaf.

Services

In FY 1993, 59 projects were awarded for captioned films and video cassettes, 10 for captioned television programs, and one to support a symposium on advanced technology to benefit persons with sensory impairments. In addition, one award was made to Recording for the Blind, Inc., and one for the National Theater of the Deaf. Finally, four descriptive video projects and four research projects were awarded. Almost $10 million was spent on captioning videos and television programs. Also, nearly $5 million was spent on recordings and descriptive video.

Program Administration

Project awards are generally for one to three years. Eligible institutions include profit and nonprofit, public and private agencies, institutions, and organizations.

In FY 1993, contracts were made with 36 educational film companies and 15 special interest companies captioning 132 titles for placement in captioned films libraries and depositories.

Outcomes

Recording for the Blind, Inc., distributes about 145,000 recorded books to students and records 3,000 new texts each year.

All major closed-captioned national news is available on the major broadcast television networks. A new project for FY 1993 provided eight continuous hours of captioning for CNN Headline News. Selected program hours captioned for CNN are provided under a separate award made in FY 1992.

All national children's programming on PBS and all Saturday morning children's programming are closed-captioned on the major broadcast networks. Many additional hours of children's programming are also captioned for cable.

With Federal support, the CBS network broadcast Fievel's American Tales in open-captioned format as a public service to increase public awareness of captioning, and will broadcast CBS Storybreak in open-captioned format in order to encourage the use of captions to promote reading and literacy skills.

Most major national sporting events are captioned for cable and broadcast television. Captioned coverage of daytime programming is nearly complete with the exception of certain program hours allocated to local stations. Many hours of captioned syndicated programming are available for local viewing including new released and classic (evergreen) programs. Close-captioning of popular late night shows as well as the captioning of commercials and music videos are funded entirely by the private sector.

Also, WGBH Educational Foundation, Descriptive Video Services is providing description for selected PBS programs, including historical and children's programs broadcast by nearly 100 local PBS stations utilizing the Second Audio Program (SAP) feature and is available to nearly 60 percent of all television households. The project for Home Video provides selected Hollywood classics in the described format. Additional services by DVS include program listings and catalogues in print or braille and 800 number for service, or for direct consumer feedback regarding video description.

The PBS coverage of the Inauguration of President Clinton, The Clinton Inaugural: A PBS Special, was the first live television program available to both individuals who are blind and individuals who are deaf or hard of hearing. Video description was made possible by the National Federation of the Blind and the Department of Education, while close-captioning was provided by PBS.

III. SOURCES OF INFORMATION

1. Thirteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1991).

2. "Analysis of Demand for Decoders of Television Captioning for Deaf and Hearing-Impaired Children and Adults" (Washington, DC: Pelavin Associates, Inc., April 1989).

3. Program files.

IV. PLANNED STUDIES

In FY 1994, the Department will sponsor a symposium to explore new strategies for providing continued media services under the Educational Media for Individuals with Disabilities Program. Proceedings from this explorative study and recommendations are expected in 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Ernest Hairston, (202) 205-9172, (202) 205-8170 TDD
Program Studies	:	Barbara Vespucci, (202) 401-3630

SPECIAL STUDIES
(CFDA No. 84.159)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part B, Section 618 (20 U.S.C. 1418) (expires September 30, 1994).

Purposes: The purposes of the Special Studies program are as follows:

- to assess progress in the implementation of the Individuals with Disabilities Education Act;
- to assess the effectiveness of State and local efforts to provide free and appropriate public education to all children and youth with disabilities and early intervention services to infants and toddlers with disabilities;
- to provide Congress with information relevant to policy making; and
- to provide Federal, State, and local agencies with information relevant to program management, administration, and effectiveness.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$1,735,000	1987	3,800,000
1980	1,000,000	1988	3,638,000
1981	1,000,000	1989	3,594,000
1982	480,000	1990	3,545,000
1983	480,000	1991	3,904,000
1984	3,100,000	1992	4,000,000
1985	3,100,000	1993	3,855,286
1986	3,170,000		

Awards may be made to State and local education agencies, institutions of higher education, public and private nonprofit organizations, and private profit organizations when necessary because of the unique nature of the study.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

This program conducts evaluation studies, including studies to assess (a) State and local programs in serving preschool children (Goal 1); (b) educational outcomes of students with disabilities including status of high school exit (i.e., graduation or dropping out) (Goal 2); and (c) the effect of education reforms on the achievement of disabled students (Goal 3).

Population Targeting

Studies are conducted on evaluation issues relating to the provision of special education and related services to infants, children, and youth, ages birth to 22.

Services

Federal Evaluation Studies

Study of Anticipated Services for Students with Handicaps Exiting from Schools

- The legislative requirements of Section 618 (b)(1)(E) of the Individuals with Disabilities Education Act (IDEA) require the Secretary of Education to report to Congress a description of the services expected to be needed, by disability category and age groups, for youth with disabilities who are exiting the school system.

  Since October 1990, Office of Special Education Programs (OSEP) has supported the development and testing of Project PASS (Performance Assessment for Self-Sufficiency), a new approach to anticipating and reporting the service needs of exiting students with disabilities that hinges on two components: (a) providing information about the functional performance of students that teachers can report with accuracy, confidence, and minimal burden, and (b) using expert system technology to convert teachers' assessments into useful information that special education and adult services agencies at all levels can use to anticipate service needs and to plan services for young persons with disabilities. To date, the feasibility of administering the PASS instrument was demonstrated in 10 field test States, and information from the field test was used to meet the 1991-92 data reporting requirement. The four key activities relevant to the future national implementation are: (1) sampling, (2) distribution of materials, (3) data collection and management, and (4) data analysis and reporting.

Longitudinal Study on a Sample of Handicapped Students

- This study was required by P.L. 98-199, which stipulates that a longitudinal study of a sample of secondary special education students be conducted to examine their occupational, educational, and independent living status after leaving secondary school. The Department has completed its data collections on a sample of students ages 13 to 26. A final report and several topical reports are available.

Key findings of the study are that:

- The majority of secondary school students with disabilities had cognitive learning problems. More than half were classified as learning disabled, and almost one-fourth were classified as having mental retardation. One in 10 students had serious emotional disturbances. Physical and sensory impairments were low-incidence disabilities.

- Youth with disabilities differed from their peers in the general population in ways other than having a disability, ways that had implications for the outcomes they achieved. They were more likely than typical students to be male, poor, African American, and from single-parent households that did not reside in suburban areas. Except for gender, these differences describe youth in each disability category.

- Disability and aspects of economic disadvantage combined to create significant functional deficits for secondary school students in special education. The average tested IQ of youth with disabilities was 79. There was substantial variation in ability level among youth who shared the same disability classification. With the exception of youth with mental retardation, youth in every category spanned the ability range from low to high IQ. NLTS measures of self-care abilities, functional mental skills, and community living skills showed a sizable minority of youth whose parents reported that they had some difficulty with these kinds of tasks.

- More than 90 percent of students with disabilities attended regular secondary schools. Special school attendance was more common for students with sensory or multiple impairments.

- A disproportionate share of students with disabilities dropped out of school. Overall, about 38 percent of students with disabilities who left school did so by dropping out (8 percent in middle school, 30 percent in high school), a higher rate than for students in the general population. Dropout rates were especially high for youth with serious emotional disturbances, learning disabilities, mental retardation, and other health impairments.

- Postsecondary education. Few students with disabilities went on to postsecondary education. When they had been out of high school three to five years, fewer than one-third had done so, less than half the rate of youth in general. College attendance was particularly low. Enrollment rates were lowest for youth with learning disabilities and mental retardation; youth with sensory impairments enrolled at rates similar to typical youth.

- Influences on postschool outcomes. Controlling statistically for other differences between youth, it was found that postschool outcomes in some domains were better for youth who completed secondary school and for those who, while they were in school, had taken vocational education, spent more time in regular education classes, and belonged to school or community groups. Particular outcomes also were better for youth who had a transition plan in high school that specified that outcome as a goal (e.g., employment) and for youth whose parents expected them to succeed and who were involved in their schooling.

- Employment. There were strong gains in employment over time, so that 57 percent of youth with disabilities were competitively employed when they had been out of school three to five years. This rate was still lower than that for the general population of youth. Significant increases for youth with disabilities were noted in the proportion of youth working full time and in those earning more than $6 per hour. Gains were experienced largely by youth with learning, speech, or emotional disabilities; employment trends for most other disability categories were flat.

- Residential Independence. Youth with disabilities showed a significant increase in independent living after high school; 37 percent lived independently three to five years after leaving school. However, this rate was substantially below the rate of youth as a whole. Independent living was more common among employed youth and those earning higher wages, as well as among females, because women were more likely to be married.

- The social domain. The rate at which youth belonged to groups and saw friends declined over time, although social isolation was rare; only 5 percent of youth saw friends less than weekly, did not belong to any community groups, and were not married or engaged. This rate was 25 percent for youth with multiple impairments. Overall, youth with disabilities were married or living with someone of the opposite sex when they had been out of high school three to five years at about the same rate as typical youth. However, young women with disabilities were significantly more likely than their non-disabled peers to be mothers (41 percent), particularly single mothers (20 percent).

- Citizenship. Half of youth with disabilities were registered to vote when they had been out of school three to five years, compared with two-thirds of youth in the general population. Registration rates were higher among high school graduates than among dropouts. Arrest rates rose sharply. Overall, 19 percent of youth with disabilities out of high school up to two years had been arrested at some time; three years later the rate was 30 percent. Arrests occurred primarily to youth with serious emotional disturbances, among whom 58 percent had been arrested.

The Center for Special Education Finance

- The Center for Special Education Finance received initial funding October 1, 1992. Activities focus on three areas: a) policy studies, b) development of a core database for resource and cost analyses, and c) descriptions of State funding systems. The Center will also review special education research and data systems for additional information and will have dissemination activities.

Three policy studies have been submitted to the Office of Special Education Programs. They are: (1) A historical overview of the fiscal provisions of the IDEA, (2) a review of policy issues and alternatives for IDEA fiscal provisions, and (3) a reporting of opinions from special education administrators on resource implications of inclusion. The purpose for developing a core database is to build the capacity to create national cost estimates on an ongoing basis and to enhance future policy studies. Activities have included the development of the core database, and an assessment of the nature of existing data systems. Input has come from the National Association of State Directors of Special Education (NASDSE) on the information needs of State policy makers related to State special education funding systems.

State Evaluation Projects

State Agency-Federal Evaluation Studies Projects

Projects Funded in FY 1993

The Colorado Department of Education is studying the feasibility of developing a conceptual framework that can be used effectively to examine three configurations of special education services. The conceptual framework developed for the feasibility study will focus on teacher roles and responsibilities, curriculum, instructional methods, and environmental components (e.g., student-student interaction, classroom climate, time-on-task, etc.) in three instructional settings (i.e., services in general education classes with special education consultation, services in co-taught classes, and services in resource classes).

The District of Columbia Public Schools, in collaboration with the Department of Psychoeducational Studies at Howard University and the National Center on Educational Outcomes (NCEO) at the University of Minnesota, is examining the feasibility of using the NCEO conceptual model of educational outcomes and indicators to develop outcome measures for special needs students in the District of Columbia Public Schools. Through this current study, the District of Columbia Public Schools will serve as a test site for implementation of the NCEO model of outcomes and indicators for disabled students.

The Hawaii State Department of Health, in collaboration with the Hawaii University Affiliated Program, is conducting a feasibility study to determine the best ways to identify needs of families involved in early intervention programs under Part H of the Individuals with Disabilities Education Act (IDEA). The study will also evaluate the relative merits of different ways of tracking how well these needs are being addressed through the existing system of early intervention services.

The Kansas State Board of Education, in collaboration with the Center for Educational Testing and Evaluation (CETE) at the University of Kansas, is carrying out a study to determine the feasibility and validity of using existing statewide student assessment procedures and practices to test students with disabilities. Recent test data indicate that students with disabilities are under-represented in the Statewide testing initiative. The current study is exploring the reasons for this, determining the extent to which students with disabilities and the programs provided to them could benefit from the State testing program, and to recommend any necessary modifications so that the testing program can be effective for students with disabilities as well as for all students.

The New Hampshire State Department of Education, in collaboration with the Center for Resource Management, Inc. (CRM) is assessing the outcomes of high school students with disabilities in regular education placements, and identifying those factors associated with student success. The study is designed to address national and State initiatives that emphasize the need for increased accountability at the school level in monitoring student performance and outcomes, and assessing the positive and negative impacts of various factors.

The North Carolina State Department of Human Resources is investigating the inclusion of infants, toddlers, and preschoolers with disabilities, and their families, who receive early intervention services under Part H or Part B of IDEA, into the State's comprehensive early childhood system of services, called Smart Start. The fundamental question addressed by the study is "What happens to preschoolers with disabilities and their families as a function of community early childhood programs developed by the local partnerships?"

In February, 1990, Ohio implemented the Infant Hearing Screening and Assessment Program (IHSAP) requiring hospitals to use a questionnaire to identify infants at risk for hearing loss. Hospitals must then either provide hearing assessments of all at-risk infants or give their parents a list of facilities performing these assessments. The Ohio Department of Health is conducting a feasibility study to develop and test a conceptual framework for a full-scale evaluation of IHSAP that will answer the questions: "Is IHSAP successful in identifying infants who are at risk for hearing impairment? Is Ohio's early intervention system working to ensure that infants identified with hearing impairment are enrolled in services by the time they are 12 months of age?"

The Colorado Department of Education is developing a model for measuring social competence and is determining the feasibility of constructing a measurement system to evaluate progress toward social competence for students identified as seriously emotionally disturbed. Major activities include: development of a model for measuring social competence; development of items which incorporate the interactive relationship of the identified specific social intents of students and the requirements of the social context; and determination of the feasibility of constructing an instrument to measure progress toward social competence utilizing these items.

The Oregon Department of Education, in collaboration with Portland State University, is currently conducting a full evaluation of the State's Comprehensive Program Plan for Supported Education. This full evaluation is using information from observations, interviews and surveys to identify attitudes and perceived outcomes for students with disabilities who receive special education and related services in regular education settings. Under this new FY 1993 award, the Oregon Department of Education will determine the feasibility of extending the full study beyond an examination only of attitudes and perceptions to include measures of direct student outcomes, and compare and contrast the effects of supported education using outcome measures.

The Pennsylvania Department of Public Welfare, in conjunction with the Allegheny-Singer Research Institute, is evaluating the differential characteristics and effects of family-oriented approaches to early intervention. The purposes of the study are to: operationally differentiate among at least three family-oriented approaches (family-allied, family-focused and family-centered); and to relate these differences, in turn, to differences in child, parent, and family functioning. The study will seek to determine whether different family-oriented approaches do have differential outcomes and, if so, to discern some of the processes underlying these differences.

In 1991, South Dakota initiated a process of school restructuring throughout the State in response to articulation of the National Education Goals. The State intends that restructuring be achieved within the whole school and on behalf of all students, including those receiving special education services. In conjunction with this Statewide initiative, the South Dakota Department of Education and Cultural Affairs is conducting an evaluation study to examine the extent to which special education programs and students are involved in the reform efforts, and to determine the effects of the reforms on special education programs, services, instruction, personnel, and students.

The Vermont Department of Education, in collaboration with Trinity College and the University of Vermont, is carrying out an evaluation study to assess the impact of recent changes in State legislation and policy on local school policies and practices. The study will measure the impact of changes in local policies and practices on delivery of special education services, and determine the impact of both State and local changes on outcomes for students with disabilities and their families. Finally, the study will measure the success levels of students currently served through special education programs.

The Oregon State Department of Education, in cooperation with the State licensing authority (Teachers Standards and Practices Commission) and Western Oregon State College's Teaching Research Division, is evaluating the effectiveness of the National Teacher Examination (NTE) as a vehicle to add special education endorsements to the basic teaching certificate. The present study builds upon the results of a feasibility study conducted to identify a usable data base and to provide the foundation for a comprehensive evaluation effort.

Findings of Studies Completed in FY 1992

Connecticut State Department of Education: "Internal Construct Validity of the Connecticut Mastery Test: Special Education Applications." The Connecticut Mastery Tests (CMT), a curriculum-based, criterion-referenced test in language arts, writing, and mathematics, is used to monitor the academic outcomes for students across the State by assessing skills that should be mastered by most students by the end of the third, fifth, and seventh grades. In order to determine the validity of using the test for special education populations as well as general education students, the Connecticut State Department of Education sought to establish the internal construct validity of the CMT for special education students with mild disabilities. All students in grades 4, 6 and 8 are required to take the CMT, with the exception of special education students who have been exempted by their Pupil Placement Teams.

The research questions addressed by this study included: "Is there a floor or ceiling effect that limits the sensitivity of the CMT for testing special education students?" "Is the CMT measuring the same performance dimensions for special education and general education test takers?" "Do total test and object level performance characteristics of special education test takers vary by exceptionality or by LRE related variables?" And, "Do the characteristics of CMT items (e.g., difficulty, discrimination) vary based on the exceptionality of the students?"

In summary, the findings of this study were that

- Analyses of the test score distribution of special education students revealed the absence of either a floor effect or ceiling effect at any grade level, indicating that the CMT yields measurements within a range appropriate for providing meaningful information about test performance.

- The item response theory analyses indicated that the three-parameter model fit the data for all subtests and for each grade. A high correlation was found between the estimates for the general and special education students, suggesting that the same dimension was being measured for the two student groups.

- The test characteristic curves and standard error functions of the two groups of students were also compared for each subtest. In all cases, the curves and standard error functions were almost identical, providing further evidence that the tests were addressing the same dimensions for both general and special education students.

Based on the results of these analyses, the researchers concluded that the Connecticut Mastery Test is a valid and reliable assessment tool for the special education students who took the test.

The Connecticut State Department of Education also concluded a feasibility study entitled "Measuring Student Attitudes and Attributes in Special Education". This feasibility study was designed to develop a methodology for incorporating student attitudes and attributes of self-concept into the Statewide Evaluation of Special Education Services. The goals of the study were to: identify and define constructs related to student attitudes and attributes that are considered important features of, or important outcomes of, special education programs; build conceptual models that describe the role played by these constructs in special education programs and the relationships between these variables and academic outcomes; describe the desired outcomes on these constructs for students in special education programs; and make recommendations about measurement strategies, data collection procedures, and suitable evaluation questions for this project.

While the steering committee was not able to construct a formal model to describe the role played by attitudes in special education programs and the relationships between attitudes and academic outcomes, several elements of the model were specified. Three primary sources of variance were identified that contribute to student achievement in school: important student attributes (e.g., ability, motivation, self-concept, social competence, family support); school resources, including instructional variables such as mission, curriculum, school climate, and instructional resources; and teachers' skills, training, and commitment. The model presumes that schools and teachers combine to act on students to produce desired outcomes.

The steering committee made three sets of recommendations concerning the future of the Statewide assessment: (1) areas appropriate for instrument development were identified, including student judgments of academic and social competence, social integration, and involvement in educational decision making, and consumer satisfaction; (2) general guidelines for the evaluation to follow were to minimize both intrusion on student instructional time and data collection burden on teachers and administrators, and to meet the American Psychological Association basic requirements for valid, reliable, and ethical assessment; and (3) to help shape the project, develop an attitude assessment strategy that may be integrated with the main structural features of the Plan for Statewide Evaluation of Special Education Services, obtain data for non-disabled students whenever possible for purposes of comparison, and ensure that all data collection efforts are cost effective in use of fiscal and human resources.

The Minnesota Department of Education: "Linking Costs to Multiattribute Outcomes in Special Education." This study was designed to examine the program costs and outcomes of special education for students with moderate to severe mental disabilities under three different administrative structures used in Minnesota to deliver special education services: an independent school district, an intermediate school district (representing consortia of independent districts offering services to students with low incidence disabilities), and a special education cooperative representing small to medium independent districts sharing delivery of special education services. The main focus of the study was on estimating the relative efficiency of the three alternative administrative structures in serving students with moderate to severe mental disabilities. Two products resulting from the study include a cost accounting framework for district level cost analysis, and an evaluation framework for assessing the outcomes resulting from delivery of the special education services through the use of a stakeholder group.

Study findings suggest that costs do not appear to be strongly influenced by the type of administrative structure for most program areas, but are influenced by other factors, such as differences in teacher salaries and teacher tenure. For example, average teacher salaries in the urban independent district were over 25 percent higher than in any of the other districts. Independent of costs, the intermediate district's program for students with moderate and severe mental disabilities was found to be most effective, with the independent urban district's program the least effective, according to the multiattribute outcomes identified by the stakeholder group. The findings indicate that the intermediate and special education cooperative districts were about twice as cost effective as the urban independent district model. Average costs were generally lower and average measures of effectiveness were generally higher for the two multidistrict models.

North Carolina Department of Human Resources: "The Abilities Project: Developing Descriptors for Characterizing Infants and Preschoolers with Disabilities". The ABILITIES project was a cooperative effort between the North Carolina Department of Human Resources and the Frank Porter Graham Child Development Center of the University of North Carolina at Chapel Hill. The purpose of the project was to investigate the utility of the ABILITIES Index, an alternative instrument for describing the functional abilities and limitations of young children with disabilities, independent of etiologic bases and/or manifestations of handicapping conditions. The project consisted of five related studies to examine the reliability, utility, and consumer perceptions of the instrument for use in early intervention.

The Reliability Study examined the extent to which parents and various professionals consistently rated children with the ABILITIES Index. The two central questions addressed the extent to which ABILITIES ratings are consistent across raters, and for an individual rater, how consistent they are across time.

The Team Consensus Study more fully examined the reliability of the ABILITIES Index among a group of experts from different disciplines. Two questions were addressed: (1) do members of an interdisciplinary assessment team rate the same child in the same way? and (2) what is the relationship between individual team member ratings and a team consensus rating?

To establish the validity of the ABILITIES Index, the Criterion Study sought to determine the extent to which ratings on the ABILITIES Index could account for variability in developmental markers, intervention variables and traditional categorical labels. Two questions were addressed: (1) what is the relationship between functional characteristics, as measured by the ABILITIES Index, and developmental markers, assessed by the Battelle Developmental Inventory? and (2) to what extent can the ABILITIES Index complement or extend the differentiation of children grouped on the basis of traditional descriptors such as categorical labels or etiologic markers?

The Consumer Validation Study was conducted to determine the extent to which consumers perceive the ABILITIES Index to be understandable, acceptable, and useful. The final study was the Descriptive Study to use the index to describe all the children in a given service delivery system.

The studies concluded that the ABILITIES Index was found to be a reliable, valid, useful, and acceptable way to describe the functional needs of children with disabilities. At a systems or population level, aggregate ratings on the ABILITIES Index can be used to describe populations in such a way that groups with different characteristics can be clearly differentiated from one another based on functional characteristics. Findings from this project also suggest that a system such as the ABILITIES Index could be used at the individual level as an alternative to categorical labeling.

National Studies

A cooperative agreement was awarded to the University of Minnesota in FY 1990 to support a National Center for Outcome Assessment (NCEO). The NCEO mission is to work with Federal and State agencies to facilitate and enrich the development and use of indicators of educational outcomes for students with disabilities. Responsible use of such indicators will enable those students to achieve better results from their educational experiences.

Major NCEO activities include:

- Development of a conceptual model of outcomes and indicators

  Activities to date include agreement on the conceptual model of outcomes and indicators, at ages 3 and 6, school completion, and post-school. The identification of sources of data at the school completion level, and the investigation of feasibility of collecting school completion data from States are ongoing. A number of States are using the NCEO self-study guide, a set of procedures for States and local education agencies to develop their own conceptual models.

- Description and analysis of State practices in assessment of educational outcomes

  The NCEO conducts an annual survey of States, indepth case studies, reports on lack of information on the participation of students with disabilities in State data collection programs, and seminars on alternative accountability practices, barriers to their use, and ways to overcome the barriers. More States are documenting the participation of students with disabilities in Statewide assessments.

- Analysis of existing national and State data bases

The NCEO conducts systematic analysis of information on students with disabilities in Goals Reports, and systematic analysis of data on students with disabilities in national data bases (e.g., NAEP, NELS, NALS).

- Involvement in and reaction to standards-setting activities

The NCEO has analyzed disability issues in the development of standards for mathematics assessment. Policy papers have been developed on standards and on students with disabilities, and opportunity to learn and its implications for all students.

Program Administration

In FY 1993, a total of 13 awards were made under the State Agency-Federal Evaluation Studies program.

Management Improvement Strategies

III. SOURCES OF INFORMATION

1. Fifteenth Annual Report to Congress on the Implementation of The Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1993).

2. Sixteenth Annual Report to Congress on the Implementation of The Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1994).

3. Program files.

IV. PLANNED STUDIES

The Office of Special Education Programs plans to support one cooperative agreement to study the progress being made to implement the transition services mandated by IDEA. There is considerable State and local variation with respect to the implementation of these expanded requirements. Very little information exists on the nature and extent of State and local implementation, including policies, procedures, and practices. Moreover, policymakers, administrators, and educators at the Federal, State, and local levels lack information regarding the nature of student participation and the impact these services have on student outcomes, the extent that other agencies are involved in the transition process, and the degree that transition services access and use information and services available from a variety of Federal programs.

The specific goals of the evaluation are to describe Federal, State, and local implementation, including policies, procedures, and practices associated with transition services, to identify barriers to effective implementation, and to evaluate the impact of transition services on student outcomes.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Lou Danielson (202) 205-8119

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

SECONDARY EDUCATION AND TRANSITIONAL SERVICES FOR YOUTH WITH DISABILITIES
(CFDA No. 84.158)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, Part C, Section 626 (20 U.S.C. 1425) (expires September 30, 1995).

Purpose: To strengthen and coordinate education and related services for youth with disabilities currently in school or who recently left school to help them make the transition to postsecondary education, vocational training, competitive employment (including supported employment), continuing education, independent and community living, or adult services; to stimulate the development and improvement of programs for special education at the secondary level; and to stimulate the improvement of the vocational and life skills of students with disabilities to better prepare them for the transition to adult life and services.

Funding History

Fiscal Year	Appropriation
1984	$6,000,000
1985	6,330,000
1986	6,316,000
1987	7,300,000
1988	7,372,000
1989	7,284,000
1990	7,989,000
1991	14,639,000
1992	19,000,000
1993	21,966,000
1994	21,966,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

In 1983, Congress mandated that the U. S. Department of Education commission a national study on the transition experiences of youth with disabilities in secondary school and beyond. The National Longitudinal Transition Study selected a sample of more than 8,000 youth who were ages 13 to 21 and secondary school students in special education in the 1985-86 school year. This nationally representative sample permits generalizations to youth as a whole, as well as to youth in each of the then 11 special education disability categories.

Findings of the first wave of data collection of this comprehensive study can be found in Youth With Disabilities: How Are They Doing?, the first report produced by the study (III.2.).

This study includes multiple indicators of performance. Not only is extensive information provided on the population receiving transitional services (disability, gender, ethnicity, functional ability, household composition, socioeconomic status, age, school status, and grade level), but comprehensive information on services and program outcomes is provided, including information on coursetaking, placements, performance, school completion, social activities, personal and residential independence, employment, postsecondary enrollment, and productive engagement.

Population Targeting

In school year 1990-1991, 223,229 students with disabilities left school. Of these, 45.7 percent earned diplomas, 13.3 percent earned certificates of completion, 2.0 percent reached the maximum age served, 23 percent dropped out, and 15.8 percent left for other reasons. The count of students exiting with status unknown may include students who transferred to other school districts but were not known to be continuing their education, students who died, or students who did not formally withdraw but simply stopped attending school.

Students who are emotionally disturbed (37 percent), learning disabled (22 percent), and mentally retarded (22 percent) are more likely to exit school by dropping out. Factors associated with dropping out of special education include poor academic performance, poor social adjustment, frequent absenteeism, low parental support, low socioeconomic status, and substance abuse problems.

Outcomes

The National Longitudinal Transition Study provides rich information on the outcomes of secondary and transitioning special education students.

In-school outcomes indicate that secondary-school special education students have lower grade point averages (GPAs) than those in the general school-age population (2.0 versus 2.6 GPA); one-third of the students failed a course in their most recent school year; students average 15 days absent per year; and one in 10 students who remained in school was retained at grade level at the end of the school year.

More than half of youth with disabilities who left secondary school in a two-year period did so by graduating (56 percent), and three-fourths of those graduates were reported by their schools to have been awarded regular diplomas. Almost one-third of school leavers with disabilities dropped out of school (32 percent), a significantly higher dropout rate than for the general population of youth.

Out-of-school outcomes include:

- Forty-six percent of youth were reported by their parents to be employed in the summer of 1987, a substantially lower rate than for youth in the general population (59 percent).
- Employment was more common among youth with higher functional abilities and among males, younger exiters, suburban residents, and those from households with relatively higher incomes.
- Youth who graduated from high school, took vocational education in their last year in high school, or had work experience as part of their vocational training, were significantly more likely than other youth to be competitively employed after high school.
- The median wage was $3.95 per hour, with lower wages for part-time workers ($3.45) than for full-time workers ($4.00).
- Despite increasing opportunities for youth with disabilities to pursue education after high school, only 14 percent of youth who had been out of secondary school up to two years had enrolled in postsecondary schools in the preceding year. This rate is significantly below the rate of 56 percent for students in the general population. Enrollment was highest for youth who were deaf or visually impaired (about 33 percent of youth) and lowest for youth classified as mentally retarded, multiply handicapped, or deaf/blind (fewer than 10 percent).
- Postsecondary vocational/trade schools were the most commonly attended by youth with disabilities (nine percent). Only four percent attended a two-year or community college, and one percent attended a four-year college.
- Twenty-two percent of youth with disabilities who had been out of secondary school between one and two years had not been engaged in any education- or work-related activities (so-called "productive activities") in the preceding year. Engagement was most common for youth who were hard of hearing, learning disabled, or deaf, and lowest for those with multiple handicaps. Functional abilities, socioeconomic status, gender, and marital status were important determinants of engagement rates.

The SRI data presented here are based on the 1990-91 school year, prior to the implementation of the State System for Transition Services Program which currently supports 30 projects. The intent of the State projects is to improve access to necessary transition services for all youth with disabilities by facilitating interagency cooperation. Together with the model demonstration projects support under the Secondary Education and Transitional Serives for Youth with Disabilities Program, more school districts are implementing exemplary transition services which will improve student outcomes.

Program Administration

Awards are authorized to institutions of higher education, State education agencies, local education agencies, and other appropriate public and private nonprofit institutions and agencies. Twenty-seven projects, primarily demonstrations, were funded in FY 1993. New projects focus on dropouts, self-determination, and special programs. A continuation grant was awarded to the Institute on Intervention Effectiveness, that focuses on the applied problems of youth in transition from high school to post secondary education, employment, adult and community living, and social integration. Six five-year cooperative agreements were funded under the State System for Transition Services for Youth with Disabilities. This program serves as a primary source of support and assistance to States implementing the transition services requirements of IDEA.

III. SOURCES OF INFORMATION

1. Fourteenth Annual Report to Congress on the Implementation of the Education of the Handicapped Act (Washington, DC: U.S. Department of Education, 1992).

2 Youth with Disabilities: How Are They Doing? (Menlo Park, CA: SRI International, 1991).

3. Dropouts with Disabilities (Menlo Park, CA: SRI International, 1991).

4. What Happens Next? Trends in Postsecondary School Outcomes of Youth With Disabilities (Menlo Park, CA: SRI International, 1992).

5. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Michael Ward, (202) 205-8163

Program Studies : Susan Thompson-Hoffman, (202) 401-3630

PROGRAM FOR CHILDREN WITH SERIOUS EMOTIONAL DISTURBANCE
(CFDA 84.237)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), Part C, Section 627, contained in the 1990 Education of the Handicapped Act Amendments, P.L. 101-476 (20 U.S.C. 1426)(expires September 30, 1995).

Purpose: To establish projects for the purpose of improving special education and related services to children and youth with serious emotional disturbance. Projects may have purposes such as the following: demonstration of innovative approaches, facilitation of interagency and private sector resource pooling, and training or dissemination of information to parents, service providers, and other appropriate people.

Funding History:

Fiscal Year	Appropriation
1991	1,952,000
1992	4,000,000
1993	4,146,560
1994	4,146,560

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Effectively serving and meeting the needs of children and youth with serious emotional disturbance (SED) and their families is a national problem and concern. The necessity of addressing the needs of these children and youth has become increasingly apparent. Failure to do so threatens the success of the Nation's educational objectives (e.g., GOALS 2000) and limits life-long opportunities for many individuals. The following data suggest the magnitude of the problem:

- Academic Outcomes. Students with SED have lower grades than any other group of students with disabilities. They fail more courses and they more frequently fail minimum competency examinations than do other students with disabilities; they also are retained at grade level more often at the end of the school year. High school students with SED have an average grade point average of 1.7 (on a four-point scale), compared to 2.0 for all disabled students and 2.6 for all students. Forty-four percent received one or more failing grades in their most recent school year (compared to 31 percent for all students with disabilities). Of those who took minimum competency tests (22 percent were exempted), 63 percent failed some part of the test.

- Dropout and Graduation Rates. Fifty percent of students with SED drop out of school (with most dropping out by 10th grade), while a total of 58 percent leave school without graduating. Only 42 percent graduate, as opposed to 56 percent of all students with disabilities and 71 percent of all students.

- School Placement. Eighteen percent of students with SED are educated outside of their local schools, compared to six percent of all students without disabilities. Of those in their local schools, fewer than 17 percent are educated in regular classrooms, in contrast to 33 percent of all students with disabilities.

- Identification Rates of Students of Varying Socio-Economic Backgrounds. The rates of identification of children and youth with SED vary across racial, cultural, gender, and socioeconomic lines. Although African-American and white students represent 16 and 68 percent of the school age enrollment respectively, they represent 22 and 71 percent of the students classified as SED. On the other hand, Hispanic-Americans and Asian-Americans represent 12 and 3 percent of the school-aged population respectively, but only 6 and 1 percent of the students classified as SED. Data also suggest that students from low-socioeconomic backgrounds are over-represented and female students underrepresented among those identified with serious emotional disturbance.

- Encounters with the Juvenile Justice System. Twenty percent of students with SED are arrested at least once before they leave school, and 35 percent are arrested within a few years of leaving school.

Compared to all students with disabilities: (1) students with SED are more likely to be placed in restrictive settings and are more likely to drop out of school; (2) their families are more likely to be blamed for the student's disability and are more likely to make large financial sacrifices to secure services for their children; and (3) their teachers and aides are more likely to seek reassignment or leave their positions.

Population Targeting

During school-year 1991-92, approximately 400,000 children and youth with serious emotional disturbance, ages 6 to 21, were served under the Chapter 1 Handicapped (ESEA) and Part B (IDEA) programs. There was an increase of more than 9,000 (2.6 percent) students with serious emotional disturbance between 1990-91 and 1991-92 in the Part B program. Since 1976-77, there has been an increase of more than 118,000 students (48 percent) served with this disability. These students comprise 8.4 percent of the total population of students with disabilities in 1991-92, compared to 7.5 percent in 1976-77. Despite these increases, there exists concern that students with serious emotional disturbance are under-identified. Under-identification may occur because some characteristics of serious emotional disturbance, such as withdrawal or depression, may be easily overlooked in school settings. In addition, some parents and professionals may be reluctant to classify a child with the serious emotional disturbance label since they often view it as pejorative.

Services

This program currently funds multiple activities including: facilitating interagency and private sector resource efforts to improve services; school preparedness for promoting the personal and social development of students with emotional and behavioral problems; enhancing professional knowledge, skills, and strategies; and reducing out-of-community residential programs by improving services to children and their families. The program is also completing a multi-year effort to develop, validate, and confirm a national agenda to improve services for children and youth with, and at risk of developing, serious emotional disturbance. This process involves program staff in continual discussions with stakeholders in special education, general education, and mental health, to improve services for these students.

Types of projects that may be supported under this program include, but are not limited to, research, development, and demonstration projects. Eligible applicants are State and local education agencies, and other appropriate public and private nonprofit institutions or agencies. In FY 1993, the SED program funded five new and 22 continuing activities. The five new awards occurred under the priority for Development and Support for Enhancing Professional Knowledge, Skills, and Strategies:

- One new project located at Lehigh University, Bethlehem, PA, will compare two approaches to increasing the skills and application of interventions for effective inclusion of students with SED within regular education classrooms.

- Another new project located at Keene State College, Keene, NH, will provide training and support for professionals in the fields of education, mental health, social work, and family services, to improve services for children and youth with SED.

- A project located at Educational Service District 112, Vancouver, WA, will test the existing school-based model CREST (Collaborative Responsibility Empowering School Teams) as an effective model to train school and community staff to meet needs of students with SED and behavioral disabilities.

- A project located at the University of Kentucky, Lexington, KY, will develop and validate an innovative approach to the support and inservice training of professionals and families who are engaged in the planning and delivery of interagency community-based treatment to children and youth with SED.

- A project located at Educational Research and Service Center, DeKalb, IL, will develop, implement, and evaluate a training program to prepare direct service providers and educators from various social service agencies to collaborate in serving students with SED and their families.

Management Improvement Strategies

In 1990, Congress authorized programs for children and youth with SED under Part C of the Individuals with Disabilities Education Act (IDEA). IDEA mandates a participatory planning process, involving multiple stakeholders in the development of program goals, objectives, strategies, and priorities for all programs administered by the Office of Special Education Programs (OSEP), including the new program for children and youth with SED.

In order to help frame and guide the planning process, OSEP defined its mission as "Achieving Better Results for Individuals with Disabilities," and implemented a strategic planning process that had three goals: (1) to develop a national agenda that would focus the attention of educators, parents, advocates, and professionals from a variety of disciplines on what must be done to encourage, assist, and support our Nation's schools in their efforts to achieve better outcomes for children and youth with SED; (2) to provide recommendations for OSEP initiatives and funding opportunities aimed at providing better outcomes for children and youth with SED; and (3) to provide background for the IDEA-authorized program for children and youth with SED. This planning process incorporated one-on-one interviews, literature reviews, focus groups, stakeholder meetings, an interactive national teleconference, presentations, and the solicitation of oral and written responses.

Significantly improving results for children and youth with SED requires a vision of transformed service systems, reoriented professional attitudes, and an emphasis on positive outcomes. Toward these ends, OSEP and the participants in the planning process identified the following seven interdependent strategic targets:

Target 1 *Expand Positive Learning Opportunities and Results* - to foster the provision of engaging, useful, and positive learning opportunities. These opportunities should be result-driven and should acknowledge as well as respond to the experiences and needs of children and youth with serious emotional disturbance.

Target 2 *Strengthen School and Community Capacity* - to foster initiatives that strengthen the capacity of schools and communities to serve students with serious emotional disturbance in the least restrictive environments appropriate.

Target 3 *Value and Address Diversity* - to encourage culturally competent and linguistically appropriate exchanges and collaborations among families, professionals, students, and communities. These collaborations should foster equitable outcomes for all students and result in the identification and provision of services that are responsive to issues of race, culture, gender, and social and economic status.

Target 4 *Collaborate with Families* - to foster collaborations that fully include family members on the team of service providers that implements family-focused services to improve educational outcomes. Services should be open, helpful, culturally competent, accessible to families, and school- as well as community-based.

Target 5 *Promote Appropriate Assessment* - to promote practices ensuring that assessment is integral to the identification, design, and delivery of services for children and youth with SED. These practices should be culturally appropriate, ethical, and functional.

Target 6 *Provide Ongoing Skill Development and Support* - to foster the enhancement of knowledge, understanding, and sensitivity among all who work with children and youth with and at risk of developing serious emotional disturbance. Support and development should be ongoing and aim at strengthening the capacity of families, teachers, service providers, and other stakeholders to collaborate, persevere, and improve outcomes for children and youth with SED.

Target 7 *Create Comprehensive and Collaborative Systems* - to promote systems change resulting in the development of coherent services built around the individual needs of children and youth with and at risk of developing serious emotional disturbance. These services should be family-centered, community-based, and appropriately funded.

Underlying the seven targets are several key assumptions that embody an understanding that a flexible and proactive continuum of services must be built around the needs of children with SED and their families. Furthermore, services must not only be available, but must be sustained and comprehensive, and they must collaboratively engage families, service providers, and the children and youth with serious emotional disturbance. Finally, both the needs of these children and increasing demographic diversity of our Nation call for cross-agency, school- and community-based relationships that are characterized by mutual respect and accountability — with the child always in focus. Accordingly, OSEP identified the following three cross-cutting themes that reflect this understanding:

- collaborative efforts must extend to initiatives *that prevent* emotional and behavioral problems from developing or escalating;
- services must be provided in a *culturally sensitive and respectful* manner; and
- services must *empower* all stakeholders and maintain a climate of possibility and accountability.

OSEP is using the framework provided by its SED National Agenda--of mission, targets, and cross-cutting themes--to plan and develop appropriate priorities and activities under the program authorization, and to work collaboratively with other agencies, both within the Department of Education and externally, e.g., the Center for Mental Health Services in the Department of Health and Human Services.

III. SOURCES OF INFORMATION

1. Annual Reports to Congress, including: Fifteenth Annual Report to Congress on the Implementation of The Individuals with Disabilities Education Act (Washington, D.C.: U.S. Department of Education, 1993).

2. Intra-Departmental Reports, including: Individuals with Disabilities Education Act: Program Funded Activities, Fiscal Year 1993 (OSEP, 1993).

3. Program files.

IV. PLANNED STUDIES

OSEP's national SED agenda has targeted these areas:

1. Expand positive learning opportunities and outcomes.
2. Strengthen school and community capacity.
3. Value and address diversity.
4. Collaborate with families.
5. Promote appropriate assessment.
6. Provide ongoing skill development and support.
7. Create comprehensive and collaborative systems.

Program staff are currently examining the alignment of past and current investments with these goals, to foster strategic planning of activities in the future. Under a current (FY 1993) subtask of a task-ordering contract, OSEP is evaluating and validating the targets and developing vehicles for their expanded dissemination to broader audiences.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Doris Andres, (202) 205-8125

Program Studies : Manny Smith, (202) 401-1958

GRANTS FOR PARENT TRAINING
(CFDA No. 84.029)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part D, Section 631(e), (20 U.S.C. 1431(d) (expires September 30, 1995).

Purposes: To provide training and information to parents of children with disabilities and persons who work with parents to enable them to participate more effectively with professionals in meeting the educational and early intervention needs of children with disabilities.

Grants are awarded to private, nonprofit organizations that are governed by a board of directors of whom a majority are parents of children with disabilities, or have members who represent the interests of individuals with disabilities and which establish a governing committee of whom a majority of members are parents of children with disabilities.

Funding History

Fiscal Year	Appropriation
1991	$ 9,758,873
1992	12,000,000
1993	12,400,000
1994	12,735,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

All grantees are required to submit an annual report that includes:

A. the number of parents served by disability category of their children,
B. the types and modes of training provided;
C. strategies used to reach parents of minority children and numbers served,
D. activities to network with other organizations; and
E. the number of parents served who have children with disabilities ages 0 through 5.

Population Targeting

Grants are targeted to parents of children in both urban and rural areas or on a State or regional basis. In addition, grants must serve parents of minority children representative of the proportion of the minority population in the areas being served.

Services

In FY 1993, funds under this authority were used for the following activities:

- Parent Training and Information Centers ($11,016,652; six new grants and 62 continuation grants). These projects provide support for parent training and information designed to assist parents of infants, toddlers, children, and youth with disabilities, and to assist persons who work with parents to enable parents to participate more fully and effectively with professionals. Over 225,000 parents have been served during the past year. Services include individual meetings, workshops, and other training sessions, distribution of publications and newsletters.

- Technical Assistance to Parent Groups ($1,375,572; one continuation grant). The grant provides technical assistance in establishing, developing, and coordinating parent training and information programs. The grantee is the Federation for Children with Special Needs.

Program Administration

Grants are monitored by program staff to ensure that they are meeting their goals and making significant progress.

Management Improvement Strategies

Changes are being considered to increase the involvement of and services to parents of minority children with disabilities. This will include an increase in experimental centers focused on the needs of minority parents in urban and rural settings.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Jack Tringo (202) 205-9032

Program Studies : Ann Nawaz (202) 401-3630.

REMOVAL OF ARCHITECTURAL BARRIERS TO INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.155)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act (IDEA), P.L. 101-476, as amended, Part A, Section 607 (20 U.S.C. 1406) (no expiration date).

Purpose: To pay part or all of the cost of altering existing buildings and equipment in accordance with standards under the Architectural Barriers Act of 1968, P.L. 90-480.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	0	1989	$0
1983	$40,000,000 1/	1990	0
1984	0	1991	0
1985	0	1992	0
1986	0	1993	0
1987	0	1994	0
1988	0		

1/ Although funds were appropriated in FY 1983, they could be obligated in any succeeding year.

II. PROGRAM INFORMATION AND ANALYSIS

Services

This formula grant program provided funds one time only to State education agencies and through them to local education agencies and intermediate education units to alter existing buildings and equipment in order to remove architectural barriers to persons with disabilities. Grants totaling $40,000,000 were made to all eligible State and territories, as of September 30, 1990.

The Education of the Handicapped Act Amendments of 1986 added the Department of the Interior to the list of eligible applicants. Although the Department of the Interior was added to the regulations for this program, it was not eligible to receive funds from the fiscal 1983 appropriation.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Sandra Brotman, (202) 205-9131

Program Studies : Ann Nawaz, (202) 401-3630

EARLY INTERVENTION PROGRAM FOR INFANTS AND TODDLERS WITH DISABILITIES
(CFDA No. 84.181)

I. PROGRAM PROFILE

Legislation: The Individuals with Disabilities Education Act, P.L. 102-119, Part H (20 U.S.C. 1471-1485) (expires September 30, 1995) .

Purpose: To provide Federal assistance to States to establish early intervention services for infants and toddlers with disabilities from birth through age 2, and their families. Funds are to be used to plan, develop, and implement a Statewide comprehensive, coordinated, interagency multidisciplinary system for providing early intervention services. States may also use funds to provide direct services that are not otherwise provided from other public or private sources and expand and improve current services.

By the beginning of the fourth year of its participation, a State must have in effect a Statewide system and must have established a policy to serve all eligible children from birth through age 2, in order to receive funds under this program. The original legislation required that, by the beginning of the fifth year, States must serve all eligible children. However, the Congress amended the law to allow States up to two additional years (called extended participation) to prepare for full implementation.

Some States have made good faith efforts to adopt policies consistent with Part H, but have been unable to implement the program according to schedule because of legislative or other delays, States describing why they have been unable to meet the timeline for policy adoption may apply for waivers of the policy adoptions requirement for the third year. Many States (36) applied for extended participation, and, differential funding was awarded to those States.

Funding History

Fiscal Year	Appropriation
1987	$50,000,000
1988	67,018,000
1989	69,831,000
1990	79,520,000
1991	117,106,000
1992	175,100,000
1993	213,280,000
1994	253,152,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program serves children who are experiencing developmental delays or who have a diagnosed physical or mental condition that has a high probability of resulting in developmental delay. The children may be delayed in one or more of the following areas: cognitive, physical (including vision and hearing), communication, social, or emotional development, or adaptive development. States must serve children with developmental delays or who have a diagnosed physical or mental condition that has a high probability of resulting in delay. At their discretion, they may serve children at risk of developmental delay.

Services

Early intervention services may include family training, counseling, and home visits; special instruction; speech-language pathology and audiology; vision services; social work services; occupational therapy; physical therapy; psychological services; service coordination services; diagnostic and evaluative medical services; assessment and evaluation services; nursing; nutrition; transportation and related costs; assistive technology devices and services; and health services needed to enable the child to benefit from the other early intervention services.

Program Administration

Grants are based on the proportion of children ages birth through 2 in the general population, except that no State receives less than 0.5 percent of the total funds available to States.

The Governor of each State must designate a lead agency for administration of this program. The State must also establish a State interagency coordinating council with 15 to 25 members--to include at least 20 percent parents, 20 percent public or private service providers, one representative from the State legislature, and one person involved in personnel preparation. One member must be from the agency responsible for the State governance of insurance, and others represent the appropriate agencies for early intervention services. The State education agency must also be represented.

In FY 1992, all but one State participated in the program. Twelve States applied for extended participation and are not yet fully implementing the program. About one-third of the States designated the SEA as lead agency for the program, another third selected the State department of health, and another third selected the State department of social or human services.

States continued to organize interagency coordinating councils at the State and local levels to design their Statewide systems, and to establish common eligibility criteria among various

State agencies serving infants. Some States provided funds for direct services to the children. The reliability of information on the numbers served is questionable, given that many States were unable to establish an unduplicated count.

III. SOURCES OF INFORMATION

1. The Individuals with Disabilities Education Act Amendments of 1991, P.L. 102-119.

2. Fourteenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act (Washington, DC: U.S. Department of Education, 1992).

3. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Jim Hamilton, (202) 205-9084
Program Studies	:	Susan Thompson-Hoffman, (202) 401-3630

TECHNOLOGY, EDUCATIONAL MEDIA, AND MATERIALS FOR INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.180)

I. PROGRAM PROFILE

Legislation: Individuals with Disabilities Education Act, Part G, as amended, (20 U.S.C. 1461, 1462) (expires September 30, 1995).

Purpose: To support projects and centers for advancing the availability, quality, use, and effectiveness of technology, educational media, and materials in the education of children and youth with disabilities and the provision of early intervention services to infants and toddlers with disabilities.

Funding History

Fiscal Year	Appropriation
1987	$4,696,000 1/
1988	4,787,000
1989	4,730,000
1990	5,425,000
1991	5,593,000
1992	10,000,000
1993	10,862,000
1994	10,862,000

1/ The Education of the Handicapped Act Amendments of 1986, P.L. 99-457, created this new authority under which activities related to special education technology are funded. Previously, these activities were funded through the Media and Captioning Services program.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting and Services

Grants are awarded to institutions of higher education, State and local education agencies, or other appropriate agencies or organizations, to assist the public and private sector to conduct research and development for improving the quality and use of technology, media, and materials for the education of persons with disabilities; to disseminate information on the availability and use of new technology, media, and materials for such persons; to design and adapt new technology, media, and materials that will improve the education of such persons; and to determine how technology, assistive technology, media and materials are being used most effectively, efficiently, and appropriately for the education of individuals with disabilities.

Program Administration

In FY 1993, a total of 20 new awards were made; of that number, one was a contract and 19 were grants.

Management Improvement Strategies

In FY 1993, a contract was awarded to promote, evaluate, and communicate the accomplishments for the technology, educational media, and materials program agenda. This contract will provide the evidence for how the program activities help to achieve the program targets. The program targets are as follows:

- Enable the Learner Across Environments. The program will foster the creation of state-of-the-art instructional environments, both in and out of school. These environments will use technology, educational media, and materials to enable students with disabilities to access knowledge, develop skills and problem-solving strategies, and engage in educational experiences necessary for their success as adults who are fully included in our society.

- Promote Effective Policy. The program will promote supportive policymaking at all levels in government, schools, and businesses. Such policies should ensure accessibility, availability, effective application, and consistent use of appropriate technology, media, and materials. The policies will recognize that these tools are essential to achieving better life-long outcomes for individuals with disabilities.

- Foster Use Through Professional Development. The program will encourage investigations of approaches and strategies for training and supporting teachers, administrators, parents, and related service personnel on the benefits of instructional and assistive technologies. This broad group of consumers needs to know what is available and how it can best be used for individuals with disabilities. Acting on such knowledge, they can increase productive use of instructional time; prepare students with disabilities for employment and citizenship; and promote their intellectual, ethical, cultural, and physical growth.

- Create Innovative Tools. The program will encourage the development of varied and integrated technologies, media, and materials which open up and expand the lives of those with disabilities. This can be accomplished by individuals, corporations, or agencies dedicated to improving the educational, social, occupational, and cultural opportunities of all students. This work should enable individuals with disabilities to achieve the outcomes expected of all students--independence, productivity, and a quality of life that promotes equity in opportunity.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ellen Schiller, (202) 205-8123

Program Studies : Barbara Vespucci, (202) 401-3630

NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH (NIDRR)
(CFDA No. 84.133)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, Title II and Section 311(a), as amended by P.L. 99-506, (29 U.S.C. 760-762a and 777 (a)) (expires September 30, 1997).

Purpose: To support rehabilitation research and the use of such research to improve the lives of individuals with physical and mental disabilities, especially those with severe disabilities, and to provide for the dissemination of information to rehabilitation professionals, individuals with disabilities, and their families concerning developments in rehabilitation procedures, methods, and devices.

Funding History:

Fiscal Year	Appropriation	Fiscal Year	Appropriation 1/
1963	$12,200,000	1986	$42,108,000
1965	20,443,000	1987	49,000,000
1970	29,764,000	1988	51,100,000
1975	20,000,000	1989	53,525,000
1980	31,488,000	1990	54,318,000
1981	29,750,000	1991	58,924,000
1982	28,560,000	1992	61,000,000
1983	31,560,000	1993	67,238,504
1984	36,000,000	1994	68,146,000
1985	39,000,000		

1/ Since 1984, $5 million a year has been appropriated for the Spinal Injury program. Although NIDRR administers this program, it is not a part of the NIDRR appropriation. See in this connection, chapter 324 on Vocational Rehabilitation Services to Individuals With Severe Handicaps.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

The purpose of this program is to improve the state of the art in rehabilitation by means of research, and to improve the effectiveness of rehabilitation services by means of dissemination of state-of-the-art knowledge to practioners. Improvements in the state of the art can only be measured with reference to specific types of functional impairment; this means that general or summary measures are not possible. With respect to the program's dissemination function, appropriate measures would require direct testing of practioners' knowledge of best practice, but this is impractical. Thus, as noted below under Outcomes, evidence of the program's impact is largely anecdotal.

Services

About 500 studies are under way at any given time, and 600 training sessions serving approximately 60,000 rehabilitation professionals, are conducted annually. The composition of the National Institute on Disability and Rehabilitation Research (NIDRR) program is shown in the table below.

Table 1
NIDRR Programs, Funding and Projects

	FY 1993 Funding ($ millions)	Number of Projects FY 1993	Number of Projects FY 1992
Rehabilitation Research and Training Centers	$24.7	43	39
Rehabilitation Engineering Centers	11.2	15	18
Research and Demonstration	4.6	24	24
Utilization and Dissemination	2.7	9	22
Field-Initiated Research	8.1	62	58
Fellowships	.2	4	10
Innovation Grants	.0	0	28
Model Spinal Injury	5.0	13	13
Research Training Grants	2.0	12	13
SBIR 1/	.9	16	18
Americans with Disabilities Act	5.2	12	18
Other 2/	2.8	--	--
Total	67.2	210	261

1/ Small Business Innovative Research.

2/ Includes funding for field readers, consultants, conferences, and printing.

Program Administration

The NIDRR funds research and related activities through 10 separate programs. The Rehabilitation Research and Training Centers and Rehabilitation Engineering Centers represent the largest investment of NIDRR resources. Other programs include a directed research and demonstration program, a knowledge diffusion program, Field-Initiated Research, Innovation Grants, and Fellowships. NIDRR is responsible for advanced training in research for physicians and other clinicians and, also, for promoting coordination and cooperation among other Federal agencies conducting rehabilitation research through an Interagency Committee on Disability Research. The Americans with Disabilities Act (ADA) assigned responsibility to the Institute for management of the 10 Regional Business Technical Assistance Centers, four material development projects, and two training programs mandated under the Act.

Outcomes

No aggregate measures of impact are available, but this program is able to offer many examples of research and dissemination outcomes that qualitatively improve the lives of persons with disabilities. These include the development of methods to overcome restrictions on physical mobility and the establishment of supportive practices permitting fuller participation in community life (III.1).

Management Improvement Strategies

In FY 1992, specific priorities were funded for Rehabilitation Research and Training Centers (RRTC) programs in the areas of Vocational Rehabilitation and Long-term Mental Illness, and Rural Rehabilitation Service Delivery. Priorities were also funded for a Rehabilitation Engineering Research Center (RERC) in the area of Rehabilitation Technology Services in Vocational Rehabilitation. NIDRR also funded priorities for discrete projects on Parenting with a Disability, Braille Literacy, Rehabilitation of Visually Impaired Older Workers, Supported Employment for Persons with Severe Physical Disabilities, Improving the Functional Utility of Robotics Through Enhanced Sensory Feedback, Demonstration of Comprehensive Rehabilitation Service Program for Individuals with Traumatic Brain Injury, Vocational Education Models for Students with Sensory Disabilities, and for select Regional Information Exchange and Dissemination awards. Announced priorities not funded due to inadequate response were: Substance Abuse and Disability, Preparing Young Persons with Deafness to Make Optimal Use of Interpreter Services, Case Management of Secondary Complications and Disabilities Resulting from Diabetes.

In FY 1993, the following RRTC programs were announced: Aging with Disabilities, Disability Statistics, Personal Assistance Services, Rehabilitation in Neuromuscular Disease, Rehabilitation and Multiple Sclerosis, Functional Assessment and Evaluation of Rehabilitation Outcomes, Arthritis Rehabilitation, Stroke Rehabilitation, Rehabilitation in Traumatic Brain Injury, Rehabilitation Interventions in Traumatic Brain Injury, Vocational Rehabilitation and

Employment in Traumatic Brain Integration for Individuals with Spinal Cord Injury, Vocational Rehabilitation and Employment for Individuals with Spinal Cord Injury, Aging with Spinal Cord Injury, Rehabilitation and Long-term Mental Illness, Native American Rehabilitation, Enhancing Employability, Promoting Placement, Career Development and Advancement, Supported Employment, Vocational Rehabilitation for Individuals Who are Substance Abusers, Vocational Rehabilitation and Special Learning Disabilities, Improving Vocational Rehabilitation for Minority Populations, Community Based Rehabilitation Programs, Management of Information and Information Systems in State VR Agencies, Aging with Mental Retardation, Community Integration for Persons with Mental Retardation, Families of Children with Disabilities, Families of Adults with Disabilities, Rehabilitation, Rehabilitation of American Indians with Disabilities, Rehabilitation and Childhood Trauma, and Independent Living for Underserved Populations. RERC programs in Adaptive Computers and Information Systems, Augmentative and Alternate Communication Devices, Hearing Enhancement and Assistive Devices, Technology to Improve Wheelchair Mobility, Worksite Modifications and Accommodations, Employability for Persons with Low Back Pain, Prosthetics and Orthotics, Robotics to Enhance the Functioning of Individuals with Disabilities, Quantification of Physical Performance, and Technology Evaluation and Transfer were also funded in FY 1993.

NIDRR has established an integrated planning system for setting goals, developing priorities, and allocating resources over the next five years and beyond. Efforts are also underway to improve the quality of data available on the outcomes and effects of research supported by NIDRR.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

NIDRR is developing program improvement information on its investigator-initiated projects and began evaluation of researcher development projects in FY 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Betty Jo Berland, (202) 205-9739

Program Studies : Rob Barnes, (202) 401-0325

REHABILITATION SERVICES--BASIC STATE GRANTS
(CFDA No. 84.126)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 95-602, P.L. 98-221, P.L. 99-506, P.L. 102-52, and P.L. 103-73. Sections 100-111, (29 U.S.C. 720-731) (expires September 30, 1997).

Purpose: To provide vocational rehabilitation services to individuals with disabilities so that they may prepare for and engage in gainful employment consistent with their strengths, resources, priorities, concerns, abilities, and capabilities.

Federal and State funds cover the costs of a variety of vocational rehabilitation services including, but not limited to, the following: assessment for eligibility and rehabilitation needs; counseling and guidance; vocational and other training; reader services for individuals who are blind; interpreter services for individuals who are deaf; physical and mental restoration services; transportation to obtain vocational rehabilitation services; maintenance during rehabilitation; personal assistance; employment placement; tools, licenses, equipment, supplies, and management services for vending stands or other small businesses for individuals with the most severe disabilities; rehabilitation technology services; specific post-employment services necessary to assist individuals with disabilities to maintain, regain, or advance in employment; assistance in the establishment development or inprovement of community rehabilitation programs; and services to families of individuals with disabilities when such services will contribute to their rehabilitation.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$225,268,000	1986	$1,145,148,839
1970	432,000,000	1987	1,277,797,000
1975	673,000,000	1988	1,376,051,000
1980	817,484,000	1989	1,446,375,000
1981	854,259,000	1990	1,524,677,000
1982	863,040,000	1991	1,628,543,000
1983	943,900,000	1992	1,783,530,000
1984	1,037,800,000	1993	1,873,476,000
1985	1,100,000,000	1994	1,967,630,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Measures of program performance annually available through uniform State agency reports include acceptance rate, average time in program, percent of clients with severe disabilities, rehabilitation rate, percent of persons rehabilitated placed in competitive employment, and average gain in weekly earnings from referral to closure of those rehabilitated.

In September 1993, a contract was awarded by the Department for technical support to the Regulations Policy Group (RPG) for developing performance standards and indicators for the Vocational Rehabilitation Service program, as required by the Rehabilitation Act Amendments of 1992. Technical support activities include a review and summary of previous work, development of issue papers, assistance in synthesizing public comments, development of alternative performance levels for the RPG, and simulations and other types of analyses based on the Rehabilitation Service Administration's data system.

Population Targeting

Recent national surveys have estimated that there are over 21 million Americans of working age with functional limitations. Of this number, about 13 million are significantly limited in the amount or kind of work they can perform, including substantial numbers who are totally incapacitated. The number eligible for vocational rehabilitation under the Rehabilitation Act is still smaller, and entitlements under the other program (e.g., veterans or those with worker compensation claims) are often provided for separately. Finally, many potentially eligible individuals do not apply for service.

Services

In FY 1992, 949,053 individuals were served by State agencies. Of this number, 346,325 (36.5 percent) were newly accepted for vocational rehabilitation, with the balance (602,728) having entered the program in FY 1991 or earlier.

Information on the types of services provided is most complete for the 202,831 clients whose cases were closed in FY 1991 as successfully rehabilitated. Average time from application to closure for this group was 22 months. Private individuals, such as physicians, provided services to 44 percent of the clients rehabilitated. Thirty-five (35) percent of rehabilitated persons received one or more services in a community rehabilitation program. Agency outlays for purchased services amounted to an average of $2,518 per successful rehabilitation. Leading the list of services provided was diagnosis and evaluation (94 percent of those rehabilitated), followed by various kinds of training such as personal adjustment and on-the-job training (54 percent), restorative services (40 percent), and job placement (34 percent). All rehabilitated persons also received counseling and guidance services.

Two studies were conducted in this program area:

One study, completed in March 1993, was an "Evaluation of Quality Assurance (QA) Systems in State Vocational Rehabilitation (VR) Agencies". This evaluation had three broad purposes: (1) to describe the nature and scope of quality assurance (QA) system, subsystems or subsystem elements existing in the State VR agencies; (2) to nominate exemplary systems; and (3) to develop a QA Manual that provides guidance (a) to State VR agencies for evaluating their existing QA systems or developing new QA systems, and (b) to RSA for evaluating State VR QA systems, and providing technical assistance to State agencies on matters concerning quality assurance systems (III. 5).

Major evaluation findings include the extensive use of QA systems and subsystems of various types in most State VR agencies. The final report of this study identifies numerous exemplary QA systems that are currently in place in these State agencies. The QA Manual contains specific examples of materials developed by State VR agencies that have demonstrated effective QA practices. Copies of the Final Report, Executive Summary, and QA Manual have been distributed to all State VR agencies, as well as all of the RSA Regional Offices.

The second study, completed in April 1993, was: "Recruitment and Retention of Qualified Field Service Delivery Personnel in Vocational Rehabilitation". The purposes of the study were to (a) identify the demographic composition of the workforce and their qualifications; (b) describe turnover rates; (c) describe personnel shortages; and (d) identify and document policies and practices that effectively attract trainees into RSA-funded training programs (III.6).

The major findings of this study take two forms: basic information about the field staff within the VR program, and recommendations for changes in policies that are likely to contribute to the recruitment and retention of qualified field service delivery personnel. Employee turnover causes great concern among public managers in the State-Federal VR system.

Three policies and practices found in the study could effectively target turnover and improve retention of qualified field-service delivery personnel:

- emphasize the more professional and challenging aspects of the job and reduce the amount of time spent on mundane tasks;
- provide prospective employees with an accurate and detailed picture of the job for which they are applying to encourage realistic expectations; and
- compete for employees by raising salaries and benefits when there is competition.

Program Administration

Services are delivered by 83 rehabilitation agencies in the United States, Puerto Rico, and outlying territories. Some States have separate agencies for individuals who are blind and visually impaired. Federal funds are distributed by formula with the State matching share being 21.3 percent.

Outcomes

During FY 1992, about 191,890 clients were rehabilitated compared to 202,831 in FY 1991. The rate of success among case closures in FY 1992 (the rehabilitation rate) was 58.0 percent. Of all rehabilitations in FY 1991, 82 percent involved successful placements into competitive employment. Average weekly earnings at closure for all those rehabilitated in FY 1991 (including those in homemaking occupations with no earnings) showed an increase of $156 over average earnings at the time of the client's initial application for program services.

On the evidence of recent program data, severity of disability is not a significant factor in predicting successful rehabilitation. In recent years, the overall rehabilitation rate for non-severe cases has been about two percentage points higher (e.g., 59.6 percent versus 57.3 percent in 1992), but an analysis of a large national sample of 1985 closures shows that this difference disappears when statistical controls for types of primary disability are introduced (III.3). There is a difference, however, in placements of severely and non-severely disabled persons into competitive employment. In FY 1991, State agencies were able to place 77.3 percent of severely disabled persons into competitive employment, compared to 92.3 percent of the non-severely disabled. Placements into sheltered workshops were 7.3 percent and 0.9 percent, respectively.

III. SOURCES OF INFORMATION

1. Disability, Functional Limitation, and Health Insurance Coverage: 1984/1985 (Washington, DC: Bureau of the Census, 1986).

2. Annual Report of the Rehabilitation Service Administration for FY 1990 (Washington, DC: U.S. Department of Education, October 1991).

3. Analysis of Program Trends and Performance in the Federal-State Vocational Rehabilitation Program (Berkeley, CA: Berkeley Planning Associates, 1989).

4. The Economic Benefits of the Vocational Rehabilitation Program (Berkeley, CA: Berkeley Planning Associates, 1989).

5. Evaluation of Quality Assurance (QA) Systems in State Vocational Rehabilitation (VR) agencies. (Berkeley, CA: Berkeley Planning Associates, 1989).

6. Recruitment and Retention of Qualified Field Service Delivery Personnel in Vocational Rehabilitation. (Berkeley, CA: Berkeley Planning Associates, 1989).

7. A Longitudinal Study of the Vocational Rehabilitation Services Program will collect up to three years of data on approximately 10,000 State agency clients and applicants for service in order to assess the impact of vocational rehabilitation services relative to a broad range of client outcomes. Expected completion date, 1999.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Mark Shoob, (202) 205-9406
Program Studies	:	Rob Barnes, (202) 732-3630

CLIENT ASSISTANCE PROGRAM (CAP)
(CFDA No. 84.161)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, Section 112, as amended by P.L. 102-52 (29 U.S.C. 732) (expires September 30, 1997).

Purpose: To establish and implement assistance programs to inform and advise clients and client applicants of all available benefits under the Rehabilitation Act and to help any who request assistance in their relationships with projects, programs, and community rehabilitation projects providing services under the Act, including assistance to clients or applicants in pursuing legal, administrative, or other appropriate remedies to ensure the protection of their rights under the Act. The program also can provide information to the public about the Client Assistance Program (CAP) and information on the available services under the Rehabilitation Act to any person with disabilities in the State. The Client Assistance Program must provide information on available services and benefits under Title I of the Americans with Disabilities Act to individuals with disabilities in the State, especially with regard to individuals who have traditionally been unserved or under served by vocational rehabilitation programs. In providing assistance and advocacy under this subsection with respect to services under this title, a Client Assistance Program may provide assistance and advocacy with respect to services that are directly related to facilitating the employment of the individual.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1983	$1,734,000	1989	$ 7,775,000
1984	6,000,000	1990	7,901,000
1985	6,300,000	1991	8,310,000
1986	6,412,000	1992	9,141,000
1987	7,100,000	1993	9,296,000
1988	7,500,000	1994	9,547,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In FY 1993, there were 57 grantees, covering all the States and the territories eligible for funding.

Services

Services that may be provided under the Client Assistance Program are information and referral, and assistance and advocacy pursuing legal, administrative, and other available remedies to ensure the protection of a client's or a client applicant's rights under the Rehabilitation Act. The CAP may also provide the cost of travel for a client, client applicant, or attendant in connection with the provision of assistance under this program.

While the number of individuals served has steadily increased, the number of individuals receiving more extensive services declined through FY 1992. The rise in cases in FY 1993 may be attributable to the 1992 Amendments.

- In FY 1993, approximately 61,769 persons were served. Of those, 50,663 received information or referral services and 11,106 received more extensive services.
- In FY 1992, 60,108 person were served. Of those, 49,305 received information and referral services and 10,803 received more extensive services.
- In FY 1991, 51,370 persons were served. Of those, 39,866 received information and referral services and 11,504 received more extensive services.

Program Administration

In the State's application for a grant under this program, the Governor designates a public or private agency in the State to conduct the State's Client Assistance Program. Each State is required to have a Client Assistance Program as a condition for receiving vocational rehabilitation Program Funds under Title I. The designated agency must be independent of any agency providing treatment, services, or rehabilitation to individuals under the Rehabilitation Act unless, prior to February 22, 1984, there was an agency in the State that directly carried out a Client Assistance Program under Section 112.

Management Improvement Strategies

The Rehabilitation Services Administration (RSA) has developed uniform program monitoring instruments for use by RSA in evaluating performance and activities of the CAP designated agencies. The first instrument is an interview guide used to determine the degree of compliance of the CAP agency with the Governor's assurances. The second instrument, a case review guide, is used to determine eligibility of persons receiving services and whether the service provided is authorized under the CAP. One-third of the CAPs are monitored each year, and problem areas are identified so that corrective action and technical assistance can be targeted appropriately.

III. SOURCES OF INFORMATION

1. Evaluation of the Client Assistance Program (Rockville, MD: Professional Management Associates, Inc., September 1986).
2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Parma Yarkin, (202) 205-8733

Program Studies : Sandra Furey, (202) 401-3630

DISCRETIONARY PROJECT GRANTS FOR TRAINING REHABILITATION PERSONNEL
(CFDA Nos. 84.129, 84.160, and 84.246)

I. PROGRAM PROFILE

Legislation: Section 304 and 803 of the Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 771(a) and 797(b)) (expires September 30, 1997).

Purpose: To support projects to increase the number and improve the skills of personnel trained to provide vocational rehabilitation services to handicapped people.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$24,800,000	1986	$25,838,000
1970	27,700,000	1987	29,550,000
1975	22,200,000	1988	30,000,000
1980	28,500,000	1989	30,500,000
1981	21,675,000	1990	31,110,000
1982	19,200,000	1991	33,353,000
1983	19,200,000	1992	36,688,000
1984	22,000,000	1993	39,628,608
1985	22,000,000	1994	39,628,608

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

The two key indicators for the long-term training program are (1) percent of trainees completing the program, and (2) percent of completers accepting employment with public rehabilitation agencies. Indicators for other types of training have not been developed.

Population Targeting

The Rehabilitation Act requires that Rehabilitation Training funds be targeted to areas of personnel shortages. The Department developed priorities for the allocation of training funds based on a National Survey of Personnel Shortages and Training Needs. Specialties which were determined to most affect service to clients with severe disabilities included rehabilitation counseling; rehabilitation of the blind, deaf, and mentally ill; job development; supported employment; and vocational evaluation and work adjustment (III.1).

Services

The program supports training, scholarships, and related activities in a broad range of rehabilitation disciplines and areas of professional practice, including long-term training, training of interpreters, experimental and innovative training, continuing education, short-term training, and inservice training. Grants and contracts are awarded to States and public or nonprofit agencies and organizations, including institutions of higher education, to pay part or all the cost of conducting training programs.

FY 1992

Type of Training	Estimated Number of Trainees	Total Grant Awards	Avg. Federal Cost per Trainee
Long-term	1,147	$25,022,718	$21,686
Experimental and Innovative	497	$1,078,184	$21,694
Continuing Education	13,785	$4,534,654	$329
Inservice	25,913	$4,044,583	$156
Short-term	1,265	$497,861	$393
Total	42,607	$35,178,000[1]	$8,206

---

[1] Total excludes $1,510,000 for the Interpreter Training program.

FY 1993

Type of Training	Estimated Number of Trainees	Total Grant Awards	Avg. Federal Cost per Trainee
Long-term	1,403	$24,340,264	$17,349
Experimental and Innovative	476	$833,549	$17,511
Continuing Education	14,007	$4,306,262	$307
State VR Unit In-Service	25,913	$5,673,799	$218
Short-term	2,235	$340,000	$152
Total	44,034	$35,493,874[2]	$8,054

Management Improvement Strategies

Towards setting rehabilitation training priorities, the Rehabilitation Services Administration (RSA), through an outside contractor, developed an assessment survey instrument to collect data on personnel shortages and training needs. This survey was conducted in FY 1987, and FY 1989. The results were used to establish funding priorities in 1987 through 1992. RSA plans to repeat the survey at regular intervals to ensure that funding priorities and justifications are based on current data.

III. SOURCES OF INFORMATION

1. 1992 Survey of Personnel Shortages and Training Needs in Vocational Rehabilitation (Washington, DC: Pelavin Associates, July 1992).

2. National Assessment of Personnel Shortages and Training Needs in Vocational Rehabilitation (Washington, DC: Pelavin Associates, June 1989).

3. National Assessment of Personnel Shortages and Training Needs in Vocational Rehabilitation (Washington, DC: Pelavin Associates, June, 1987).

4. Program Files.

---

[2] In addition to the exclusions in Note 1, FY 1993 costs do not include the one percent set-aside for section 21 of the Rehabilitation Act and costs for Title VIII activities.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Richard P. Melia, (202) 205-9400
Program Studies	:	Rob Barnes, (202) 401-0325

SPECIAL PROJECTS AND DEMONSTRATIONS FOR PROVIDING VOCATIONAL REHABILITATION SERVICES TO INDIVIDUALS WITH DISABILITIES
(CFDA No. 84.235)

I. PROGRAM PROFILE

Legislation: The Rehabilitation Act of 1973, P.L. 93-112, Title III, Part B, Section 311 (a)(1) 311(b), as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 777(a)(1) and 777a(b)); Title VIII, Section 802 (29 U.S.C. 797a) (expires September 30, 1997).

Purpose: To provide financial assistance to projects for expanding or otherwise improving vocational rehabilitation services and other rehabilitation services for individuals with disabilities (especially those with severe disabilities); to provide job training services to youth with disabilities; to provide transportation services to individuals with disabilities; and to demonstrate ways to increase client choice in the rehabilitation process.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$1,000,000	1987	15,860,000 3/
1975	1,295,000	1988	16,590,000 4/
1980	9,568,000	1989	17,200,000 4/
1981	9,765,000	1990	32,269,000 5/
1982	8,846,000	1991	18,368,000 6/
1983	9,259,000	1992	31,103,000 7/
1984	11,235,000 1/	1993	19,942,176 8/
1985	14,635,000 1/	1994	19,942,000
1986	$19,332,000 2		

1/ Includes funding for the Spinal Cord Injury Program administered by the National Institute on Disability and Rehabilitation Research (NIDRR).

2/ Includes $5,000,000 for the Spinal Cord Injury Program, $718,000 for the South Carolina Comprehensive Rehabilitation Center, and $4,785,000 for the Oregon Hearing Institute.

3/ Includes $5,000,000 for the Spinal Cord Injury Program, and $450,000 for Model Statewide Transitional Planning Services for Severely Handicapped Youth Projects.

4/ Includes $5,000,000 for the Spinal Cord Injury Program, and $475,000 for Model Transition projects.

5/ Includes $5,000,000 for the Spinal Cord Injury Program, and $14,814,000 earmarked to establish Comprehensive Head Injury Centers.

6/ Includes $5,000,000 for the Spinal Cord Injury Program administered by the National Institute on Disability and Rehabilitation Research (NIDRR).

7/ Includes $6,000,000 earmarked for a Hearing Research Center, and $5,000,000 for the Spinal Cord Injury Program.

8/ In FY 1993, the Spinal Cord Injury Program was transferred to the National Institute on Disability and Rehabilitation Research.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Priority was given to the support of projects that would provide services to special disability populations for whom there was an identified need to improve and expand rehabilitation service delivery, individuals who are members of populations that are unserved or underserved, individuals who are blind, and individuals who are deaf.

Services

In FY 1993, 36 continuation projects and 38 new projects were funded, including 2 projects serving "Deaf and Hard of Hearing People Who Are Low-Functioning." Continuation projects currently funded by the program address the following priority categories: (1) Individuals with Specific Learning Disabilities [eight projects]; (2) Individuals with Long Term Mental Illness [four projects]; (3) Traumatic Brain Injury [six projects]; (4) Chronic, Progressive Diseases [four projects]; and (5) Non-Priority - Field Initiated [14 projects]. New projects address the following areas: (1) Individuals Who Abuse Drugs other than Alcohol [eight projects]; (2) Functional Assessment of Individuals with Cognitive Disabilities [five projects]; (3) Linkages with State Vocational Rehabilitation Agencies and Consumer-Run Programs for Individuals with Severe Mental Illness [four projects]; (4) Transition Services for Youths with Special Needs [six projects]; and (5) Non-Priority - Field Initiated [13 projects].

In addition to the 38 new projects funded under Section 311 (a), the Rehabilitation Services Administration (RSA) funded new projects under Title VIII, authorized by the FY 1992 Amendments to the Rehabilitation Act. Seven Demonstration Projects To Increase Client Choice in the rehabilitation process were funded at a total cost of $3,626,564, as well as 14 projects under the Transportation Services Program, totaling $4,371,764.

Program Administration

The Rehabilitation Act requires the Commissioner of RSA to use one percent of the aggregate funds appropriated for programs authorized in Titles II, III, VI, VII, and VIII for minority outreach activities as specified in section 21 of the Act. In FY 1993, one percent of the funds appropriated for this program were reserved for this purpose.

Section 21 also requires grant applicants to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Similarly, all existing grantees are required to document how they addressed the needs of individuals with disabilities from minority backgrounds. Under Section 20 of the Act, all grantees must advise individuals with disabilities who are applicants for or recipients of services or, as appropriate, the parents, family members, guardians, advocates, or authorized representatives of those individuals, of the availability and purpose of the State Client Assistance Program (CAP), including information on the means of seeking assistance under such program.

Outcomes

An evaluation of the Special Projects and Demonstrations program was completed in 1987 (III.2). The Rehabilitation Services Administration, through an outside contractor, evaluated the Title III, Part B Special Projects to identify overall trends and results. Evaluation results indicated that almost 50 percent of the clients did improve their employment status through participation in a special project.

Management Improvement Strategies

Recommendations to RSA (III.2) included the establishment of: a systematic uniform reporting procedure; a directory with project information that can be nationally disseminated; ongoing relationships between special projects and the State Vocational Rehabilitation agencies; project evaluation standards; and a monitoring process to ensure that project evaluation standards are being followed. In addition, it was recommended that State vocational rehabilitation agencies become involved in the planning of the project, along with the dissemination of project techniques and innovation.

In FY 1991, RSA conducted an Internal Control Review of this program (III.3). Recommendations from this team supported the need to establish a standardized reporting format and dissemination of project results to appropriate agencies and institutions. Work continues on all recommendations. For example, a project catalogue is being developed for distribution to State VR agencies, and RSA Regional Offices. A standardized reporting format has been developed and distributed to all agencies and the Department now routinely reminds grantees to send in final reports within 90 days after their funding expires. In addition, it requests that grantees send in abstracts of their projects on diskette so that eventually the abstracts can be made available to all computer bulletin board users.

III. SOURCES OF INFORMATION

1. Program files.

2. Evaluation of Special Rehabilitation Projects and Demonstrations for Severely Disabled Individuals: Final Report (Winchester, MA: Harold Russell Associates, Inc., February 1987).

3. Internal Control Review: Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Handicaps: Final Report (Washington, DC: U.S. Department of Education, March 1991).

IV. PLANNED STUDIES

Evaluation of Choice Demonstration Projects

The 1992 Amendments to the Rehabilitation Act require the RSA Commissioner to conduct an evaluation of the Choice Projects to determine which of the strategies employed are most effective, and to assess potential for replication of the projects or components thereof, within the State VR system. The evaluation of the Choice Demonstrations will begin in FY 1995 .

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Thomas E. Finch, (202) 205-9796

Program Studies : Lenore Garcia, (202) 401-3630

SUPPORTED EMPLOYMENT PROJECTS FOR INDIVIDUALS WITH THE MOST SEVERE DISABILITIES
(CFDA. No. 84.128)

I. PROGRAM PROFILE

Legislation: The Rehabilitation Act of 1973, P.L. 93-112, Title III, Part B, section 311 (c), as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 777a (c)) (expires September 30, 1997).

Purpose: To support grants for special projects and demonstrations to expand or otherwise improve the provision of supported employment (SE) services to individuals with the most severe disabilities and for technical assistance projects. Discretionary grants provide funding for Statewide systems change, community-based and technical assistance projects. Supported employment is competitive work at integrated work sites for individuals with the most severe disabilities for whom competitive employment would have been unlikely. These individuals, because of their disabilities, need intensive ongoing support services in order to perform in a work setting. Awards are made on a competitive basis to public and nonprofit rehabilitation facilities, designated State units, and other public or private agencies and organizations.

Funding History

Fiscal Year	Appropriation
1985	4,360,000 1/
1986	8,613,000 1/
1987	9,000,000
1988	9,520,000
1989	9,520,000
1990	9,876,000
1991	10,023,000
1992	10,423,000
1993	10,616,384
1994	10,616,000

1/ Funds were provided under the authority of Title III, Part B, section 311(a)(1), Special Demonstration Program.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Supported employment projects assist individuals with the most severe disabilities, for whom competitive employment would have been unlikely, to acquire the skills and experience needed to achieve and maintain employment in the community.

Services

State-wide systems-change demonstration projects stimulate the development and provision of supported employment services on a State-wide basis for individuals with the most severe disabilities. Projects may not use their Federal funding for the provision of client services.

The community-based projects stimulate the development of innovative approaches for improving supported employment services to individuals with the most severe disabilities, and enhance local capacity to provide these services. Services authorized under community-based supported employment projects include job search, job development, on-the-job training, job placement, rehabilitation engineering, and time-limited post-employment services.

Technical assistance projects primarily assist States to implement the State Supported Employment Services Program authorized by Title VI, Part C of the Rehabilitation Act.

In FY 1991, 17 new statewide demonstrations were initiated to further the development of supported employment. In FY 1994, 10 additional statewide demonstrations were awarded. A total of 47 States will have received systems-change grants by FY 1995. FY 1993 funds supported 13 new community-based projects, 14 continuing community-based projects, and the final year for 16 State-wide systems-change projects. Support for two technical assistance projects funded in FY 1990 ended in FY 1992. In FY 1994, in addition to 9 new state-wide demonstration project, approximately 20 community-based projects were awarded.

Program Administration

The Rehabilitation Act, as amended in 1992, requires the Commissioner to use one percent of the aggregate funds appropriated for programs authorized in Title II, III, VI, VII, and VIII for minority outreach activities as specified in Section 21 of the Act. In FY 1993, one percent of the funds appropriated for this program were reserved for this purpose. Section 21 also requires grant applicants to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Section 20 requires all programs under the Act to advise individuals receiving or seeking program services, or such individuals' authorized representatives, of the availability and purposes of the Client Assistance Program, under Section 112 of the Act, including information on the means of seeking assistance under such program.

Outcomes

Community-Based Projects: In FY 1989, 12 community-based supported employment services grants were awarded. They received their final year of funding in FY 1991. These projects were instrumental in developing new jobs for individuals with severe handicaps by assisting employers with the removal of architectural barriers, installation of assistive technology, and providing on-the-job training and assistance to co-workers of disabled individuals to develop a support network within the employment setting. Several projects worked with area schools to help students move from school to supported employment. A total of 395 individuals were served by these 12 projects at an average cost per individual of $5,131 to $35,320. The average hourly wage ranged from $3.12 to $6.93 per project. Some of these project designs will be replicated by rehabilitation providers in a variety of settings.

Technical Assistance Projects: In FY 1990, two technical assistance cooperative agreements were awarded for a three-year period to assist State VR agencies to develop and implement the Title VI-C program. The recipients of these agreements were the University of Oregon and Virginia Commonwealth University. The grantees assessed each State's technical assistance needs and then targeted issues unique to each State assigned as their responsibility.

The University of Oregon, responsible for States in Regions V, VII, VIII, IX, and X, reported that in FY 1992, the focus was on State capacity building to expand and sustain supported employment services by addressing structural system issues and barriers to change, including programmatic and budgetary issues. Major ares of technical assistance included: training on job coaching and the use of natural supports; implementation of rural programs; use of assistive technology; unserved groups; and facility roles in supported employment.

Virginia Commonwealth University had a similar focus. Technical assistance was provided in the following major areas: supporting Title III grant managers in orientation, training, project management, and prescriptive problem solving; training on use of Social Security Administration funding authorities of extended services and on use of the psychosocial approach; development of information on pay-for-performance fee systems and assistance to States in reviewing funding approaches; preliminary review and recommendations on State challenge grants used in systems change projects; and development of standards for supported employment programs.

Management Improvement Strategies

Each grant recipient is monitored (through teleconference) twice each year. Each grantee is evaluated on the progress made toward achieving the goals and objectives cited in the grant application. If appropriate, the grantee receives technical assistance in order to meet the stated goals and objectives of the grant application.

III. SOURCES OF INFORMATION

1. The Annual Report to Congress for Fiscal Year 1992 on Supported Employment Activities under Section 311(c) of the Rehabilitation Act, As Amended (Washington, DC: U.S. Department of Education, Rehabilitation Services Administration, 1993).

2. Achievements and Challenges: A Five Year Report on the Status of the National Supported Initiatives for the Period 1986-90 (Richmond, VA: NIDRR Research and Training Center, Virginia Commonwealth University, 1992).

3. Bibliography on Supported Employment, (The Employment Network, University of Oregon, 1993).

4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Fred Isbister, (202) 205-9297
Program Studies	: Lenore Garcia, (202) 401-3630

PROJECTS FOR INITIATING RECREATION PROGRAMS FOR INDIVIDUALS WITH DISABILITIES
(CDFA No. 84.128J)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, as amended in 1993, P.L. 93-112, Title III, Part B, Section 316, as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 711(c) and 777(f)) (expires September 30, 1997).

Purpose: To initiate programs of recreational activities and relted experiences for individuals with disabilities to aid in their employment, mobility, socialization, independence, and community integration. To the maximum extent possible, these programs should be provided in settings with peers who are not individuals with disabilities. These programs are designed to demonstrate ways in which they maximize the independence and integration of individuals with disabilities.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1982	$1,884,000	1989	$2,620,000
1983	2,000,000	1990	2,588,000
1984	2,000,000	1991	2,617,000
1985	2,100,000	1992	2,617,000
1986	2,105,000	1993	2,596,000
1987	2,330,000	1994	2,596,000
1988	2,470,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The 25 projects initiated in FY 1993 and to be continued through FY 1995 serve an estimated 20,346 persons with disabilities in 17 States and the District of Columbia.

Services

Projects emphasize integrating individuals with disabilities into community-based activities and programs with non-disabled individuals in both urban and rural settings. Projects also promote employment, independence, socialization, and increased mobility. These projects include activities such as scouting, camping, music, dance, handicrafts, art, physical education, and sports. The projects are primarily conducted at the local and community level by local governments, nonprofit organizations, and colleges and universities.

The Rehabilitation Act requires the Commissioner to use one percent of the aggregate funds appropriated for programs authorized in Title II, III, VI, VII, VIII for minority outreach activities as specified in section 21 of the Act. In FY 1993, one percent of the funds appropriated for this program were reserved for this purpose.

Section 21 also requires grant applicants to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Similarly, all existing grantees are required to document how they address the needs of individuals with disabilities from minority backgrounds. Under Section 20 of the Act, all grantees must advise individuals with disabilities who are applicants for or recipients of services, or as appropriate, the parents, family members, guardians, advocates, or authorized representatives of those individuals, of the availability and purposes of the State Client Assistance Program (CAP), including information on the means of seeking assistance under such program.

Each applicant is required to provide sufficient information on how the project will sustain itself after the termination of Federal grant support; and how the project will meet its matching requirement and increase its share of project costs during the project period, including an identification of the sources and amounts of matching funds. The Federal share of the costs of the recreation programs shall be 100 percent for the first year of the grant, 75 percent for the second year and 50 percent for the third year.

Management Improvement Strategies

Each grant recipent is monitored (through teleconference) two times per year. Each grantee is evaluated on the progress made toward achieving the goals and objectives cited in the grant application. If appropriate, the grantee is provided technical assistance in order to meet the stated goals and objectives of the grant application.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Tony Cavataio, (202) 205-8206

Program Studies : Barbara Vespucci, (202) 401-3630

PROJECTS FOR MIGRATORY AGRICULTURAL WORKERS AND SEASONAL FARM WORKERS WITH DISABILITIES
(CFDA No. 84.128)

I. PROGRAM PROFILE

Legislation: The Rehabilitation Act of 1973, as amended in 1993, P.L. 93-112, Title III, Part B, Section 312, as amended by P.L. 102-569 and P.L. 103-73 (29 U.S.C. 777(b) (expires September 30, 1997).

Purpose: To provide vocational rehabilitation services to individuals with disabilities who are migratory agricultural workers or seasonal farmworkers and to members of their families (whether or not the family members are individuals with disabilities) who are with them.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$ 530,000	1987	$ 1,058,000
1980	1,530,000	1988	1,100,000
1981	1,325,000	1989	1,100,000
1982	951,000	1990	1,086,000
1983	951,000	1991	1,171,000
1984	950,000	1992	1,171,000
1985	950,000	1993	1,171,000
1986	957,000	1994	1,171,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

There are at least 280,000 migratory agricultural workers and seasonal farmworkers with disabilities in the labor force. In addition, there are an estimated 60,000 family members with disabilities nationwide.

Services

Currently, there are nine projects operating in States that have high concentrations of migrant and seasonal farmworkers. Services are typically provided in small geographic areas within each State. Projects include the development and implementation of special arrangements for providing vocational rehabilitation services to individuals with disabilities who are migratory agricultural workers or seasonal farmworkers, and to members of their families, where necessary, to rehabilitate such individuals.

Program Administration

Under Section 21 of the Rehabilitation Act, as amended in 1992, applicants must address the needs of individuals with disabilities from minority backgrounds. Under Section 20 of the Act, grantees must advise individuals with disabilities who are applicants for or recipients of services or, as appropriate, the parents, family members, guardians, advocates, or authorized representatives of those individuals, of the availability and purposes of the State Client Assistance Program (CAP), including information on the means of seeking assistance under such program.

Projects are administered by a State agency designated pursuant to a State plan approved under Section 101 of the Rehabilitation Act, a nonprofit ageny working in collaboration with a State agency, or a local agency participating in the administration of such a plan. Grants pay up to 90 percent of the cost of projects.

Management Improvement Strategies

The applicant must give satisfactory assurance that in the provision of services there will be appropriate cooperation between the grantee and other public or nonprofit agencies and organizations having special skills and experience in the provision of services to migratory agricultural workers, seasonal farmworkers, or their families, including programs under Title I of the Elementary and Secondary Education Act of 1965, Section 311 of the Economic Opportunity Act of 1964, the Migrant Health Act, and the Farm Labor Contractor Registration Act of 1963.

Projects are monitored on a quarterly basis from the appropriate Regional Office. The Regional Office reviews the grantees' progress toward achieving their stated goals and objectives, and provides technical assistance, as needed.

III. SOURCES OF INFORMATION

1. Evaluation of the Migrant and Seasonal Farm Workers' Vocational Rehabilitation Service Projects (San Francisco, CA: E.H. White and Company, September 1987).

2. Program files.

IV. PLANNED STUDIES

The Department has recently conducted a study of the vocational rehabilitation services to migratory workers and seasonal farmworkers under the Vocational Rehabilitation State grants program and this program. The results of this study were released in fiscal year 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Tony Cavataio, (202) 205-8206
Program Studies	:	Sandra Furey, (202) 401-3630

HELEN KELLER NATIONAL CENTER (HKNC) FOR DEAF-BLIND YOUTHS AND ADULTS
(CFDA No. 84. 128)

I. PROGRAM PROFILE

Legislation: The Helen Keller National Center Act as amended by P.L. 99-506, (29 U.S.C. 1901-1907) (expires September 30, 1997).

Purpose: To provide rehabilitation and training services, to train family members; to train professional personnel; and to conduct applied research development programs at the national center or anywhere in the United States to enable persons who are deaf-blind to reach their full potential.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1972	$600,000	1987	$4,600,000
1975	2,000,000	1988	4,800,000
1980	2,500,000	1989	4,900,000
1981	3,200,000	1990	4,938,000
1982	3,137,000	1991	5,367,000
1983	3,500,000	1992	5,867,000
1984	4,000,000	1993	6,057,000
1985	4,200,000	1994	6,741,000
1986	4,115,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Services are targeted exclusively on individuals who are deaf-blind. There are an estimated 41,000 in this country.

Services

In FY 1993, the Helen Keller National Center for Deaf Blind Youths and Adults (HKNC) served 72 clients at its residential facility and provided referral and counseling to another 1,627 persons who are deaf-blind in their own States and communities through 10 regional offices. The 35 agencies affiliated with HKNC served 3,233 persons who are deaf-blind. The National Training Team conducted 12 week-long training conferences for 197 people and 38 conferences throughout the nation for a total of 2,280 participants. Additionally, the NTT conducted 6 family weekends for 300 people and 2 interpreter training weekends for 60 people. There were (short-term) 3-day training conferences for 110 American and 40 foreign visitors and a 1-day training program for 240 Americans and 60 international visitors.

Outcomes

Of the 72 persons receiving training at the National Center, 35 completed their training by June 30, 1993, with 16 being placed in employment settings ranging from competitive to a work activity center and 23 placed in residential programs.

Management Improvement Strategies

In the July 1, 1992 - June 30, 1993 program period, HKNC Living Innovations in Functional Environment (LIFE) which trains severely multihandicapped deaf-blind persons for improved self-care and independent living in the concrete setting of a residence. The National Center continued with the Personal Futures Planning program (PFP) whereby HKNC staff, family and advocates assist the individual client to develop, plan and make decisions concerning the individual's goals for life in the community and workplace, and used the Helen Keller Functional Profile (HKFP) to enable professionals to identify the functional level of a client and develop an appropriate training program to enhance the client's skills.

In addition, the HKNC hired a coordinator of Affiliate Services to stimulate the establishment of services at the community level and funded two additional affiliate progrms. The National Center sponsored a national conference to focus on services for older deaf-blind individuals and received a grant from the Administration on Aging to develop a model that allows older deaf-blind individuals to maintain living arrangements in the local community.

III. SOURCES OF INFORMATION

1. Program 1993 Annual Report of the Helen Keller National Center.

2. Evaluation of the Helen Keller National Center for Deaf-Blind Youths and Adults (Washington, DC: Associate Control, Research and Analysis Inc., August 1988).

IV. PLANNED STUDIES

The HKNC Act requires that the Secretary of Education annually evaluate the HKNC's activities. The center uses special evaluation instruments developed under contract to the Department to help prepare the report the Secretary annually transmits to the President and Congress.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Chet Avery, (202) 205-9316

Program Studies : Ann Nawaz, (202) 401-3630

PROJECTS WITH INDUSTRY PROGRAM (PWI)
(CFDA No. 84.234)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973 (P.L. 93-112), as amended by P.L. 102-569 and P.L. 103-73 Title VI, Part B, Section 621 (29 U.S.C. 795g)) (expires September 30, 1997).

Purpose: To initiate programs that create and expand job and career opportunities for individuals with disabilities in the competitive labor market by engaging the talent and leadership of private industry as partners in the rehabilitation process, to identify competitive jobs and career opportunities and the skills needed to perform such jobs, to create practical job and career readiness and training programs, and to provide job placements and career advancement.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$900,000	1987	$16,070,000
1975	1,000,000	1988	17,000,000
1980	5,500,000	1989	17,350,000
1981	5,250,000	1990	18,765,000
1982	7,510,000	1991	19,445,000
1983	13,000,000	1992	20,390,000
1984	13,000,000	1993	21,571,000
1985	14,400,000	1994	22,071,000
1986	14,547,000		

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

This program has established standards and related performance indicators for evaluating grantees and determining eligibility for continuation awards. Projects are given points based on the proportion of their clients with severe disabilities, those with a prior history of unemployment, the project's cost per successful placement, actual costs compared to projected costs,overall placement rate, actual placements compared to projected placements, gain in client earning, and proportion of successful placements of persons with severe disabilities or prior history of unemployment. Additionally, the program has an added requirement that projects report the number of participants terminated from project placements and the duration of such placements. (For a full description, see 34 CFR Part 379, Subpart F).

Population Targeting and Services

Services available to individuals with disabilities vary from project to project depending on the population served and type of project. Services generally include intake and evaluation, prevocational counseling, training to enhance job-seeking skills, vocational training, job development, and job placement. Services to employers could include job-site modification, equipment modification, application of rehabilitation technology, and employee recruitment. Many business persons and rehabilitation professionals participate on Project With Industry Business Advisory Councils.

Analysis of the performance indicators data for FY 1992 indicates that most projects (84 percent) successfully met their performance objectives. In accordance with program regulations, all projects that failed to meet the minimum successful score on the performance indicators were given the opportunity to demonstrate improvement in their performance by submitting data for the first six months of FY 1993. All but one of these projects achieved a satisfactory score on the indicators. The failed project was not funded in FY 1994.

Program Administration

The Rehabilitation Act (the Act) as amended in 1992, requires the Commissioner to use one percent of the aggregate funds appropriated for programs authorized in Titles II, III, VI, VII, and VIII for minority outreach activities as specified in Section 21 of the Act. In FY 1993, one percent of the funds appropriated for this program was reserved for this purpose.

Section 21 of the Act also requires applicants to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Under section 20 of the Act, grantees must advise program participants (applicants for and recipients of services), or as appropriate, the parents, family members, guardians, advocates, or authorized representatives of those individuals, of the availability and purposes of the State Client Assistance Program (CAP), including information on the means of seeking assistance under such program.

Each grantee must also develop a Business Advisory Council (BAC). Each BAC must have representation from private industry, organized labor, and individuals with disabilities and their representatives. The BAC is responsible for: (1) identifying job and career availability within the community; (2) identifying the skills necessary to perform the jobs and careers identified; (3) prescribing training programs designed to develop appropriate job and career skills for individuals with disabilities; (4) providing appropriate training in realistic work settings to prepare individuals for employment and career advancement in the competitive market; and (5) providing jobs placement and career advancement services.

Outcomes

Total rehabilitations in FY 1993 amounted to 11,486, up from 9,994 in FY 1992. Average costs per placement decreased from $2,048 in FY 1992 to $1,726 in 1993, despite slight increases over the same period in the numbers and proportions who were severely disabled.

Management Improvement Strategies

The FY 1986 amendments to the Rehabilitation Act provided for mandated site visits of project grantees which began in FY 1989. Each year, a random selection of PWI projects receives site visits. In FY 1993, there were 17 projects site-visited. Each grantee was evaluated on progress toward achieving the goals and objectives as outlined in the grant application. As weaknesses are identified, technical assistance is provided. Through corrective action plans, grantees that have manifested marked weaknesses are targeted for additional technical assistance until the project is satisfactorily functioning.

In addition, grantees must submit in their applications for third year (and any subsequent year) funding data on the compliance indicators. Each grantee must achieve a composite score of 70 points in order to receive continuation funding. If the designated score is not achieved, the grantee is permitted to submit data from the first six months of the subsequent fiscal year. If a grantee does not meet the designated score, the grantee will not receive a continuation award.

III. SOURCES OF INFORMATION

1. Assessment of the Projects with Industry Program (Washington, DC: Advanced Technology, Inc., April 1983).

2. Evaluation of the Projects with Industry (PWI) Program (Washington, DC: Policy Studies Associates, Inc., January 1986).

3. Compliance Indicators for Projects with Industry Program.

4. Program files.

BEST COPY AVAILABLE

IV. PLANNED STUDIES

The Department is planning to assess the PWI standards and indicators and their appropriateness as an evaluation tool for program effectiveness. Results of a preliminary assessment were expected in FY 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Connie Pledger, (202) 205-9297

Program Studies : Rob Barnes, (202) 401-3630

CENTERS FOR INDEPENDENT LIVING (CIL)
(CFDA No. 84.132)

I. PROGRAM PROFILE

Legislation: Part C, Chapter 1 of the Title VII of the Rehabilitation Act of 1973, P.L. 93-112, as amended (29 U.S.C. 796e) (expires September 30, 1997).

Purpose: The purpose of the Centers for Independent Living (CILs) program is to promote a philosophy of independent living, including a philosophy of consumer control, peer support, self-determination, equal access, and individual and system advocacy, in order to maximize the leadership, empowerment, independence, and productivity of individuals with significant disabilities, and the integration and full inclusion of individuals with significant disabilities into the mainstream of American society by providing financial assistance to develop and support Statewide networks of CILs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1979	$2,000,000	1987	$24,320,000
1980	15,000,000	1988	25,500,000
1981	18,000,000	1989	26,000,000
1982	17,280,000	1990	26,666,000
1983	19,400,000	1991	27,579,000
1984	19,400,000	1992	29,000,000
1985	22,000,000	1993	31,446,000
1986	22,011,000	1994	36,818,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

An Advanced Notice of Proposed Rulemaking containing draft evaluation standards and compliance indicators was published in the Federal Register on July 10, 1992. This publication provided constructive suggestions and comments that were helpful during the legislative process culminating in enactment of the Rehabilitation Act Amendments of 1992, and were also used during FY 1993 in the development of the indicators of compliance with the standards, as required by section 706 of the 1992 Amendments. A Notice of Proposed Rulemaking for the indicators was published on October 27, 1993. The Department expected to published final compliance indicators, along with final regulations implementing the 1992 Amendment, in FY 1994.

Population Targeting

This program provides a combination of IL services to individuals with significant disabilities through consumer-controlled, community-based, cross-disability, nonresidential private nonprofit agencies that are operated within local communities by individuals with significant disabilities.

Services

In FY 1993, services were provided through 212 CILs in 50 States, the District of Columbia, Puerto Rico and three territories to an estimated 100,000 individuals. Information and referral services are estimated to have been provided over 250,000 times.

Through education and advocacy, the CILs staff and volunteers working through the CIL were involved in effecting positive community change and increasing access throughout the country. These include, but are not limited to: encouraging local transportation providers to convert to a majority of mainline accessible busses to meet the transportation needs of individuals with mobility impairments; developing extensive volunteer networks based at the CIL; creating accessible materials for individuals with significant visual impairment; developing innovative programs for individuals with mental illness such as self-help and housing services for individuals who are homeless and peer counseling programs for individuals in locked wards; developing and managing local and State equipment loan and revolving fund programs; developing and operating a wide variety of consumer-controlled attendant-care approaches and funding strategies; counseling individuals with significant disabilities and their families as to the availability of rights and benefits regarding appropriate school options and medical support; educating older individuals with emerging disabilities on IL techniques and skills; and organizing and coordinating Statewide Telecommunication Devise for the Deaf (TDD) services for individuals who are deaf or hard of hearing.

Program Administration

All centers must have a governing board comprised of a majority of persons with significant disabilities. All projects complete a self-evaluation and audit by an independent auditor annually. At least 15 percent of CILs must receive an on-site compliance review by a team composed of Federal and non-federal reviewers each year.

Funds are allocated to States on a population basis, except that no State may receive less than the total amount received in FY 1992, and each State is provided a minimum allotment of $400,000 or as close to this amount as funds allow. Between 1.8 and 2 percent of the funds appropriated for this program must be used for grants or contracts to provide training and technical assistance to centers for independent living and Statewide independent living councils.

The Rehabilitation Act (the Act) as amended in 1992, also requires the Commissioner to use one percent of the aggregate funds appropriate for programs authorized in Titles II, III, VI, VII, and VIII for minority outreach activities as specified in Section 21 of the Act. In FY 1993, one percent of the funds appropriated for this program were reserved for this purpose. Section 21 also requires grant applicants to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Section 20 of the Act requires all programs under the Act to advise individuals receiving or seeking to receive program services or, as appropriate, such individuals' authorized representative, of the availability and purpose of the Client Assistance Program, under section 112 of the Act, including information on the means of seeking assistance under such program.

Outcomes

Under the proposed performance indicators, centers will measure and report on the achievement of individual goals for independent living, client satisfaction, and improvements in the local community designed to facilitate independent living.

Management Improvement Strategies

As a result of the major changes resulting from the 1992 Amendments, a number of new and innovative strategies are underway that are anticipated to result in significantly simplified reporting requirements, less paperwork and more time for exploration of ways to assist CILs to improve programs during on-site reviews. Simultaneous with the development of new reporting instruments is planning for electronic paperless reporting.

III. SOURCES OF INFORMATION

1. 1992 Annual Report on Federal Activities Related to the Rehabilitation Act of 1973, as amended (Washington, DC: U.S. Department of Education, 1992).
2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John Nelson, (202) 205-9362

Program Studies : Rob Barnes, (202) 401-3630

VOCATIONAL REHABILITATION SERVICES FOR AMERICAN INDIANS WITH DISABILITIES (CFDA Nos. 84.128 H, 84.250 A-B, 84.250 C)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102-569 and P.L. 103-73, Title I, Section 130 (29 U.S.C. 711(c) and 750) (expires September 30, 1997).

Purpose: The purpose of this program is to support projects that provide vocational rehabilitation services to American Indians with disabilities who reside on Federal or State reservations.

Funding History 1/

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1981	$ 650,000	1988	3,448,750
1982	624,000	1989	3,625,750
1983	650,000	1990	3,821,000
1984	715,000	1991	4,082,000
1985	1,430,000	1992	4,470,000
1986	1,340,000	1993	6,203,000
1987	3,202,500	1994	6,515,000

1/ Beginning in Fiscal Year 1987, funds for this program were provided through a set-aside of the Vocational Rehabilitation Services State Grants program. The Rehabilitation Act Amendments of 1992 increased the minimum amount to be set aside from 0.25 percent to 0.33 percent for Fiscal Years 1993 and 1994.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In FY 1993, 22 Vocational Rehabilitation Service projects for American Indians with disabilities were funded, of which 11 were continuations and 11 were new projects . These three-year projects are directed by the governing bodies of tribes that received grants from the Rehabilitation Services Administration (RSA). The projects provide vocational rehabilitation services to American Indians who reside on Federal or State reservations and are expected to provide services similar to those provided under the Vocational Rehabilitation State Grant program.

Services

The Vocational Rehabilitation Service projects for American Indians with disabilities provide comprehensive rehabilitation services, including diagnostic services, vocational assessment, physical and mental restoration (including services traditionally used by Indian tribes), vocational training, placement, and post-employment services. Individual projects also conduct outreach activities designed to acquaint potential clients with the range of services available. Approximately 4,500 disabled American Indians were served with FY 1993 funds.

Program Administration

RSA provides grant funds to projects and also monitors the projects. The governing bodies of the tribes provide rehabilitation services directly, by contract, or by purchase of service agreements. The projects, to be funded, must be developed in consultation with the designated State unit(s). The projects must develop a cooperative working arrangement with the designated State unit(s) and must refer the American Indian with disabilities to such designated State units for services if the individual so desires.

Management Improvement Strategies

In addition to technical assistance provided to the individual projects, Regional Offices have included project staff in meetings related to the provision of vocational rehabilitation services. The American Indians are included under RSA's Cultural Diversity Initiative, and activities included in the cooperative agreement supporting this initiative include outreach, training, and technical assistance to funded projects, applicants, and potential applicants. Technical assistance is also available through Regional Rehabilitation Continuing Education Programs.

In the past, many of the applications received under the Indian program have not been of adequate quality for funding. The Department has been making efforts to improve the quality of applications received for this program, such as sending copies of individual peer reviewer's evaluations and the panel summary to unsuccessful grantees, and providing technical assistance to prospective applicants such as sharing copies of the top-ranked application from the previous year's competition. The steps taken to improve the quality of applications for funding had a positive impact on the quality of applications received for FY 1994 competition and is expected to have positive impact in the future.

III. SOURCES OF INFORMATION

1. Study of the Special Problems and Needs of American Indians with Handicaps Both On and Off the Reservation (Flagstaff, AZ: Native American Research and Training Center, Northern Arizona University, November 1987).

2. Service, Research and Training Needs of American Indian Vocational Rehabilitation Indian Rehabilitation Projects (Flagstaff, AZ: American Research and Training Center, Northern Arizona University, November 1989).

3. Follow-up on the Effectiveness of Tribally Operated Vocational Rehabilitation Projects (Flagstaff, AZ: American Indian Rehabilitation Research and Training Center, Northern Arizona University, 1991).

4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Barbara Sweeney, (202) 205-9544

Program Studies : Manny Smith, (202) 401-1958

INDEPENDENT LIVING SERVICES FOR OLDER INDIVIDUALS WHO ARE BLIND
(CFDA No. 84.177)

I. PROGRAM PROFILE

Legislation: Chapter 2 of the Title VII the Rehabilitation Act of 1973, P.L. 93-112, as amended by P.L. 102-569 (29 U.S.C. 796f) (expires September 30, 1997).

Purpose: To provide independent living services for blind persons age 55 years or older, and to help them adjust to blindness so that they may live more independently in their homes and communities.

Funding History

Fiscal Year	Appropriation
1986	$4,785,000
1987	5,290,000
1988	5,600,000
1989	5,700,000
1990	5,829,000
1991	5,914,000
1992	6,505,000
1993	6,944,000
1194	8,131,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program serves blind or severely visually impaired individuals, age 55 or older, whose blindness or severe visual impairment makes gainful employment extremely difficult, but for whom independent goals are feasible. Independent living skills help to prevent institutionalization and enhance the lives of these individuals.

Services

Independent living services for older blind persons include services that will assist such persons to correct blindness or visual impairment, or to adjust to blindness by becoming more able to care for individual needs. Services offered include visual screening, therapeutic treatment, outreach, eyeglasses, other vision aids, guide services, transportation, orientation and mobility services, reader services, Braille instruction, information and referral peer counseling, adaptive skills training and other appropriate service designed to assist an older individual who is blind in coping with daily living activities. In FY 1993, approximately 12,000 individuals received one or more services through this program.

Program Administration

The State unit designated to provide rehabilitation services to persons who are blind, is the eligible agency under this program. Each designated State unit may either directly provide independent living services under this program or make subgrants to other public agencies or private, nonprofit organizations to provide these services.

The Rehabilitation Act (the Act) as amended in 1992, requires the Commissioner to use 1 percent of the aggregate funds appropriated for programs authorized in Title II, III, VI, VII, and VIII for minority outreach activities as specified in Section 21 of the Act. In FY 1993, 1 percent of the funds appropriated for this program were reserved for this purpose. Section 21 also requires grant applicants to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Section 20 of the Act requires all programs under the Act to advise individuals receiving or seeking to receive program services, or as appropriate, such individuals' authorized representative, of the availability and purposes of the Client Assistance program, under section 112 of the Act, including information on the means of seeking assistance under such program.

III. SOURCES OF INFORMATION

1. Program files

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operation : Ray Melhoff, (202) 205-9320

Program Studies : Barbara Vespucci, (202) 401-3630

INDEPENDENT LIVING SERVICES PROGRAM[1]
(CFDA No. 84.169)

I. PROGRAM PROFILE

Legislation: Part B, Chapter 1 of Title VII of the Rehabilitation Act of 1973, P.L. 93-112, as amended (29 U.S.C. 796e-796e-2) (expires September 30, 1997).

Purpose: The purpose of the State Independent Living Services (SILS) program is to promote a philosophy of independent living, including a philosophy of consumer control, peer support, self-help, self-determination, equal access, and individual and system advocacy, in order to maximize the leadership, empowerment, independence, and productivity of individuals with significant disabilities, and the integration and full inclusion of individuals with significant disabilities into the mainstream of American society. The program provides financial assistance to States for providing, expanding, and improving independent living services; provides financial assistance to develop and support Statewide networks of centers for program and independent living; and provides financial assistance to States for improving working relationships among program and entities providing assistance to individuals with disabilities.

Funding History

Fiscal Year	Appropriation
1985	$ 5,000,000
1986	10,527,000
1987	11,830,000
1988	12,310,000
1989	12,678,000
1990	12,938,000
1991	13,619,000
1992	14,200,000
1993	15,376,000
1994	36,818,000

---

[1] Formerly Comprehensive Services for Independent Living

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Uniform standards and indicators are not feasible for this program, since funding priorities vary widely as a function of differences in the conditions addressed by State plans.

Population Targeting

In FY 1992, funds under this program were distributed to 79 State agencies, including both general agencies and separate agencies for persons who are blind. The total of individuals with significant disabilities served, reported by 70 agencies, was 17,327. Some accomplishments in 1992, in addition to direct services, include the development and expansion of networks of trained peer counselors to provide outreach, information and referral, and counseling; a systematic program of de-institutionalization and prevention of institutionalization of individuals with significant disabilities by the provision of community-based SILS, particularly the coordination of personal care attendant services; and identifying and addressing the independent living service needs of Native Americans with significant disabilities.

Services

The Rehabilitation Act Amendments of 1992 greatly expanded the purposes for which funds can be spent under this program. Direct services are only one of seven alternatives. In addition, section 7 (29), and (30), Definitions, replaced the list of services in old section 702(b).

Beginning with FY 1994, each State must, jointly with the Statewide Independent Living Council, provide in its State plan for the provision of SILS and describe the extent and scope of independent living services to be provided. These services can be provided either directly by the State agency or through arrangements with centers for independent living and other providers.

Program Administration

For FY 1993, the requirement that less than 20 percent of the funds received by a State under this program be used to make grants to local public agencies and private nonprofit organizations was dropped. Beginning with FY 1994, decisions regarding priorities for use of funds received through this program must be reflected in the State plan for Chapter 1 of Title VII of the Act. This plan is to be jointly developed by the director of the designated State Unit and chairperson of the Statewide Independent Living Council.

Funds are allocated to States on a population basis, except that no State may receive less than the total amount received in FY 1992, and each State is provided a minimum allotment of $275,000 or as close to this amount as funds allow. The Act requires the Commissioner to use one percent of the aggregate funds appropriated for programs authorized in Titles II, III, VI, VII, and VIII of the Act for minority outreach activities as specified in Section 21 of the Act. In FY 1993, one percent of the funds appropriated for this program were reserved for this purpose. Section 21 also requires applicants for funds under most titles of the Act to demonstrate how they will address the needs of individuals with disabilities from minority backgrounds. Section 20 of the Act requires all programs under the Act to advise individuals receiving or seeking to receive program services or, as appropriate, such individuals' parents, family members, guardians, advocates, or authorized representative, of the availability and purposes of the Client Assistance program, under section 112 of the Act, including information on the means of seeking assistance under such program.

Management Improvement Strategies

Title VII of the Act received major substantive revisions in the Rehabilitation Act Amendments of 1992. All program management efforts for FY 1993 were directed toward implementing the Amendments.

III. SOURCES OF INFORMATION

1. State Plans for Independent Living Services.

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John Nelson, (202) 205-9632

Program Studies : Rob Barnes, (202) 401-3630

SUPPORTED EMPLOYMENT STATE GRANTS PROGRAM FOR INDIVIDUALS WITH THE MOST SEVERE DISABILITIES
(CFDA 84.187)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, P.L. 93-112, Title VI, Part C, as amended by P.L. 102-569 and P.L. 103-73, Sections 631-638 (U.S.C. 795 j-q) (expires September 30, 1997).

Purpose: The State Supported Employment Services Program authorizes formula grants (supplementary to grants for vocational rehabilitation services under Title I) to assist States in developing collaborative programs with appropriate public agencies and private nonprofit organizations to provide supported employment services for individuals with the most severe disabilities who require these services to enter or retain competitive employment.

Funding History

Fiscal Year	Appropriation
1987	$25,000,000
1988	25,935,000
1989	27,227,000
1990	27,630,000
1991	29,150,000
1992	31,065,000
1993	32,273,000
1994	34,190,640 1/

1/ One percent minority outreach set-aside of $345,360 deducted from appropriation.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The State Supported Employment (SE) Services Program, administered through designated State units, provides services to individuals with the most severe disabilities. The purpose of the program is to help persons with the most severe disabilities who may have been considered too disabled to benefit from vocational rehabilitation (VR) services to achieve competitive vocational outcomes.

Services

Supported employment placements are achieved by augmenting short-term VR services with ongoing support provided by other public or nonprofit agencies or organizations. VR State agencies provide time-limited services for a period not to exceed 18 months, unless a longer period to achieve job stabilization has been established in the individual written rehabilitation program. Once this period has ended, the State agency must arrange for extended services provided by other appropriate State agencies, private nonprofit organizations, or other sources including natural supports for the duration of that employment. Decisions regarding services to be provided are based on an individualized written rehabilitation program developed by the VR counselor and the individual to be served.

Program Administration

States must submit an approved state plan, supplemental to the Title I state plan, to receive an allotment. No more than 5 percent of a State's allotment can be used for administrative costs. There is no matching requirement.

Outcomes

Data for the Title VI, Part C program are obtained through the RSA-911 Case Service Report and the RSA-636 Annual Supported Employment Caseload Report. Data from the RSA-911 reflect the summary of information across the life of the case of those individuals who are rehabilitated through the VI-C program. Annual data from the RSA-636 were first collected in FY 1992. Highlights of the two data systems include:

- RSA-911 data for FY 1991 showed that 6,711 individuals were rehabilitated with an average cost for purchased services of $3,935. The average duration in the VR program was 18.6 months.

- RSA-636 data for FY 1992 showed that there were 22,401 active VI-C cases; of these, 6,370 were closed rehabilitated, 5,557 met all the criteria for closure, and 813 met some of the criteria. There were 13,004 cases remaining in active status at the end of FY 1992. RSA-636 data for FY 1993 show 24,203 cases; of these, 7,131 were closed rehabilitated, 5,740 met all the criteria for closure, 884 met some of the criteria, and 14,247 cases remained active at the end of the fiscal year.

The 1992 Amendments to the Rehabilitation Act clarified that the SE program is to serve individuals with the most severe disabilities. Data on the impact of the Amendments in focusing these programs on individuals with the most severe disabilities will be available in FY 1995.

Management Improvement Strategies

The Rehabilitation Services Administration (RSA) has implemented a system for reviewing case record documentation for Title VI, Part C, which is part of the Case Review System for the Vocational Rehabilitation program under Title I of the Rehabilitation Act, and has developed a supplement to the State Plan Assurance Review (SPAR) for Title I. These instruments are used for monitoring State agency performance

III. SOURCES OF INFORMATION

1. State Plan Supplement for the Supported Employment Services Program.

2. The Annual Report to Congress for Fiscal Year 1992 on Supported Employment Activities under Section 311(d) of the Rehabilitation Act, as amended. (Washington, DC: U.S. Department of Education, Rehabilitation Services Administration, in clearance).

3. Preliminary data from RSA-911.

4. Program files.

IV. PLANNED STUDIES

The National Institute on Disability and Rehabilitation Research (NIDRR) continues to fund a Research and Training Center to study supported employment programs to determine what strategies the States have employed in developing a Statewide system of supported employment; to further identify long-term financial support available to the program; and to determine the number of persons served, cost of services, and the employment history of those served in supported employment programs funded under State grant and discretionary grant authorities.

In FY 1995, RSA plans to initiate a two-year study to evaluate the effectiveness of extended services in the Supported Employment program and to evaluate the use of natural supports. The purpose of the program is defeated unless effective extended services are available and utilized. During the past several years, extensive progress has occurred in securing sources of funding for extended services. However, major problems exist in establishing and/or maintaining these funding streams. Also, no substantial data or analyses exist on the effectiveness, stability, extensiveness, or availability of these services. The purposes of this study would be to:

- assess the availability of extended services including natural supports, particularly for unserved and underserved disability groups;
- assess the stability and length of provision of extended services;
- assess the availability of natural supports and the effectiveness of these supports;
- assess the comprehensiveness (i.e., type and number of services provided) and the cost of extended services; and

- evaluate the effectiveness of extended services in maintaining the individual in competitive employment.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Barbara Sweeney, (202) 205-9544

Program Studies : Lenore Garcia, (202) 401-3630

SPECIAL INSTITUTIONS FOR PERSONS WITH DISABILITIES

A. American Printing House for the Blind (APH)
(CFDA No. 84.998)

I. PROGRAM PROFILE

Legislation: Act to Promote the Education of the Blind of March 3, 1879, as amended (20 U.S.C 101 et seq.) (no expiration date).

Purpose: To provide high-quality special educational materials to legally blind persons enrolled in educational programs below the college level. Materials are manufactured and made available free of charge to schools and States through proportional allotments based on the number of blind students in each State.

Funding History 1/

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$ 865,000	1986	$5,263,000
1970	1,404,000	1987	5,500,000
1975	1,967,000	1988	5,266,000
1980	4,349,000	1989	5,335,000
1981	4,921,000	1990	5,663,000
1982	5,000,000	1991	6,136,000
1983	5,000,000	1992	5,900,000
1984	5,000,000	1993	6,298,000
1985	5,000,000	1994	6,463,000

1/ Excludes a permanent appropriation of $10,000 for all years; reflects enacted supplementals, rescissions, and reappropriations.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

APH expected to determine the impact of its services or materials by reporting the increase of numbers of customers served in 1992 compared to 1993 and by:

- determining the increase/decrease of specific services/materials to visual readers, braille readers, and auditory readers;
- developing objectives to increase services to the target populations; and

- increasing the number of consultations with State agencies.

Population Targeting

To be eligible for services, a student must be legally blind and enrolled in an educational program below the college level for 20 hours or more per week. APH estimated that of the 51,813 students served in 1993, 27 percent were visual readers, 10 percent auditory readers, 10 percent braille readers, 22 percent pre-readers, and 31 percent non-readers. Additionally, of the total students served in 1993, 82 percent were enrolled in public school programs, 9 percent in residential programs, 5 percent in rehabilitation programs, and 4 percent in programs for the multiple-handicapped.

Services

APH maintains an extensive inventory of special educational materials for the blind. These include text materials in braille, large type, and recorded form; tangible teaching devices, microcomputer hardware and software, educational tests, special instructional aids, tools, and supplies necessary for the education of students who are blind. APH provides advisory services for consumers, including visits to approximately 20 agencies or programs each year to inform administrators and teachers about available materials. In addition, APH conducts basic and applied research to develop new educational materials for use in educating students who are blind.

Program Administration

The Act to Promote the Education of the Blind, as amended, authorized the Federal government to provide an appropriation to APH to manufacture and distribute special educational materials free of charge to schools and programs serving students who are blind, enrolled in educational programs below the college level. APH has two standing advisory committees: one establishes the need for new publications and the second oversees research and development. The funds provided under this Act represent approximately 42.1 percent of APH's total budget in FY 1993. Materials are available to each State and territory in proportion to their share of the total national enrollment of students who are blind. This enrollment is determined by an annual census administered by APH.

Outcomes

The American Printing House for the Blind served 51,813 students in FY 1993, an increase of 1,733 above the 1992 level of 50,080 students. Examples of materials under development in 1993 include:

- new materials to serve children from birth through age three.

- new materials to serve parents, teachers, and caretakers of children from birth through age three.
- a literacy program to develop materials to teach braille to adults who are blind and illiterate, and
- the design and production of tactile maps to enable blind persons to learn more about geography.

APH will maximize its advisory services in a more cost-effective and efficient method through the development of professionally scripted video presentations for outreach and field activities.

APH is developing a National Comprehensive Listing System (NCLS) which is an expansion of its existing database known as the Central Automated Resource List (APH-CARL) and includes not just textbooks but all books available in alternate format on a national level. Such a complete database will provide easy access for students, parents, and service providers to locate necessary materials for the educational equity and literacy of persons who are visually impaired.

Management Improvement Strategies

The APH strategic plan was updated in March 1992; five major goals and objectives designed to achieve those goals were identified and communicated to all employees.

- A master production schedule for manufactured items is developed every six months and is monitored on a biweekly basis.
- APH completed phase two of the comprehensive information system that includes financial and payroll modules which will result in the improved analytical data needed to contain costs and improve services.
- APH has increased manpower in the manufacturing, large type, and braille areas to increase production capacity. Additionally, APH continues to build and purchase machinery to eliminate labor-intensive work tasks and to improve efficiency.
- APH has employed a braille division manager to improve efficiency in the operation of this division.

III. SOURCES OF INFORMATION

1. Program files.
2. Study of the American Printing House for the Blind and Study of Parental Perspectives on Services for the Visually Impaired (Washington, DC: Pelavin Associates, June 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ramon Rodriquez, (202) 205-8174
Fran Parrotta, (202) 205-8196

Program Studies : Barbara Vespucci, (202) 401-3630

B. National Technical Institute for the Deaf (NTID)
(CFDA No. 84.998)

I. PROGRAM PROFILE

Legislation: Title II of the Education of the Deaf Act (EDA) of 1986, P.L. 99-371, as amended by Public Laws 102-421 and 103-73 (20 U.S.C. 4301 et seq.). (expires September 30, 1997).

Purpose: To promote the employment of people who are deaf by providing technical and professional education for the Nation's youth who are deaf. The National Technical Institute of the Deaf also conducts applied research and offers training in occupational and employment-related aspects of hearing loss, including communication assessment and instruction, and education and cognition.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 2,851,000	1987	$32,000,000
1975	9,819,000 1/	1988	32,592,000
1980	17,349,000 2/	1989	33,326,000
1981	20,305,000	1990	36,070,000 4/, 5/
1982	26,300,000	1991	37,212,000
1983	26,300,000	1992	39,439,000
1984	28,000,000	1993	40,713,000 6/
1985	31,400,000	1994	41,836,000 7/
1986	30,624,000 3/		

1/ Includes $1,981,000 for construction.
2/ Includes $2,729,000 for construction.
3/ Includes $1,400,000 for construction.
4/ Includes $ 476,000 for construction.
5/ Includes $ 888,000 for projects to serve low-functioning persons who are deaf, to be administered by the Rehabilitation Services Administration.
6/ Includes $ 351,000 for construction.
7/ Incluseds $193,000 for construction.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

During the past two years NTID developed and began implementation of a strategic plan that will:

- develop a comprehensive plan to guide the Institution for the next decade;
- review and evaluate current programs and eliminate inefficient programs and develop new academic offering in order to provide students with more comprehensive up-to-date educational opportunities; and
- implement the creation of centers to centralize the Institute's major programs.

Population Targeting

NTID provides a residential higher education facility for the postsecondary technical training and education of the Nation's young people who are deaf or hard-of-hearing. NTID serves students with an average hearing loss of 92 decibels. In FY 1993, a total of 1,130 students were enrolled, of whom 275 were in technical fields and 338 in professional disciplines. In addition, 275 persons participated in the NTID Summer Vestibule Program which is a four-week experience that allows new students to engage in career exploration and decision-making, adjust to college life, and assess their academic skills and competencies. Students get hands-on experience and information about various programs.

Services

NTID offers a variety of technical programs at the certificate, diploma, and associate degree levels, including majors in business, engineering, science, and visual communications. Students at NTID may also take courses through the other eight colleges of the Rochester Institute of Technology (RIT). The academic programs are supplemented by support services and special programs such as tutoring, note-taking, interpreting, special educational media, cooperative work experience, and job placement. In addition, NTID conducts applied research and provides training in occupational and employment-related aspects of hearing loss, communication assessment, and educational techniques to professionals in the field of deafness, and to others working with or for people who are deaf.

Program Administration

The Department of Education contracts with the Rochester Institute of Technology to provide the facilities and core services necessary to operate NTID. NTID is administered as one of eight colleges at RIT. RIT programs are open to NTID students seeking course work beyond that offered by NTID, or degrees beyond the associate degree level. The Federal appropriation for NTID supports educational programs for persons who are deaf and represents approximately 83 percent of NTID's total budget.

Outcomes

NTID awarded 202 degrees in FY 1993, and 94 percent of those eligible for the labor force were employed. Approximately 100 publications developed by NTID are available for distribution to the public.

Management Improvement Strategies

In accordance with the EDA Amendments of 1992, the Department has assessed the need for modification of the existing agreement with RIT for the operation of NTID. As a result of that assessment, the Department, with input from RIT/NTID, is drafting a new agreement. The 1992 Amendments also contained a number of provisions to improve the efficiency and effectiveness of NTID's operations and the Department's ability to monitor and evaluate the Institute's programs and activities. The Department of Education is working with NTID to contain expenditures and to increase non-Federal revenues while preserving the quality and availability of programs. In response to the December 1993, GAO report (III.4.) and the EDA Amendments of 1992, NTID has established separate accounts to track the expenditure of Federal and non-Federal funds and, in addition, has developed policies that apply to educational institutions and other organizations that receive Federal funds for a number of expenditure areas.

In FYs 1992 and 1993, NTID developed and began implementation of a comprehensive strategic plan for the next decade. The plan includes a review and evaluation of current strategies, and suggests the elimination of some programs as well as the creation of new academic offerings in order to provide students with more comprehensive up-to-date educational opportunities. Significant developments are the creation of Centers for Arts and Sciences; Baccalaureate and Graduate Studies; Research, Teaching and Learning; Institutional Services; Student Resources; Outreach; and Technical Studies.

The Affirmative Action Advisory Committee provides recommendations regarding affirmative action at NTID throughout the strategic planning process. NTID implemented its affirmative action and equal opportunities program. The percentage of ethnic minority employees is 10 percent, and employees with disabilities represent 21 percent of NTID's work force. Of NTID's 59 minority employees, 37 are black, while 101 of the 112 employees with disabilities have hearing impairments. Of the 517 staff in executive, faculty, or professional positions, 46 are minorities and 100 have disabilities. The plan also calls for continued efforts to recruit deaf and other minority faculty and staff members and to substantially increase the number of deaf minority and women employees throughout NTID.

III. SOURCES OF INFORMATION

1. Program Files.
2. The Education of the Deaf Act of 1986, as amended by Public Laws 102-421 and 103-73.
3. The 1993 Annual Report of the National Technical Institute for the Deaf.
4. Deaf Education: Improved Oversight Needed for National Technical Institute for the Deaf, (Washington, D.C.: General Accounting Office, GAO/HRD-94-23, December, 1993).
5. Deaf Education: Cost and Student Characteristics at Federally Assisted Schools, (Washington, D.C.: General Accounting Office, GAO/HRD-86-64BR, February 14, 1986).
6. Educating Students at Gallaudet and the National Technical Institute for the Deaf, (Washington, D.C.: General Accounting Office, GAO/HRD-85-34, March 22, 1985).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations :	Ramon F. Rodriquez, (202) 205-8174 Fran Parrotta, (202) 205-8196
Program Studies :	Barbara Vespucci, (202) 401-3630

C. Gallaudet University
(CFDA No. 84.998)

I. PROGRAM PROFILE

Legislation: Education of the Deaf Act (EDA) of 1986, P.L. 99-371 as amended by Public Laws 102-421 and 103-83 (20 U.S.C. 21301 et seq.) (expires September 30, 1997).

Purpose: To provide elementary, secondary, college-preparatory, undergraduate, and continuing education programs for persons who are deaf, and graduate programs relating to deafness for both hearing and deaf persons; to conduct basic and applied research related to deafness; and to offer public service programs to persons who are deaf and to persons who work with these individuals.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 6,400,000 1/	1987	$62,000,000
1975	35,595,000 2/	1988	65,998,000
1980	48,768,000 3/	1989	67,643,000
1981	49,768,000 4/	1990	67,643,000
1982	52,000,000 5/	1991	72,262,000 6/
1983	52,000,000	1991	76,540,000 7/
1984	56,000,000	1992	77,589,000 8/
1985	58,700,000	1993	78,435,000 9/
1986	59,334,000	1994	78,435,000 9/

1/ Includes $ 1,218,000 for construction.
2/ Includes $18,213,000 for construction.
3/ Includes $10,730,000 for construction.
4/ Includes $ 6,594,000 for construction.
5/ Includes $ 1,600,000 for construction.
6/ Includes $ 2,440,000 for construction.
7/ Includes $ 2,500,000 for construction.
8/ Includes $ 2,455,000 for construction.
9/ Includes $ 1,000,000 for construction.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Gallaudet University has been making significant progress in its programs and operations by:

- developing a Vision Statement that will guide its direction in the coming years;
- continuing to reduce its total staff by two percent each year;
- working on a new agreement with the Department of Education governing the operation and national mission activities of the Model Secondary School for the Deaf and the Kendall Demonstration Elementary School;
- improving and expanding its annual reporting to the Department;
- implementing some new or revised management, planning, and budget processes resulting from a study conducted by the Department.

Population Targeting

Programs at Gallaudet University primarily serve persons who are deaf or hard-of-hearing. A study by the General Accounting Office (GAO) in 1985 (III.1) found that 89 percent of entering students had a hearing loss of 70 decibels or greater and that 64 percent had profound hearing losses of 90 decibels or greater. During FY 1993, Gallaudet enrolled 2,287 preparatory, undergraduate, special, and graduate students. Gallaudet University also operates two federally funded elementary and secondary programs: 1) The Model Secondary School for Deaf (MSSD), which enrolled 344 secondary students, including 41 Postsecondary Enrichment Program students, in FY 1993; and 2) The Kendall Demonstration Elementary School (KDES) which enrolled 192 students in FY 1993. The EDA Amendments of 1992 broadened the focus of these two programs to include students who are not college bound and students with a broad spectrum of needs including students who are lower achieving academically, who come from non-English-speaking homes, who have secondary disabilities, who are members of minority groups, or who are from rural areas.

In FY 1993, Gallaudet University's outreach programs served 82,514 persons. The Pre-college Programs outreach and product dissemination figure for FY 1993 was 99,556. Gallaudet reports 100,000 student support services contact hours in FY 1993.

Hearing students are admitted to graduate and outreach programs, including a master's degree program in interpreting.

Services

Gallaudet University, which is a private, nonprofit educational institution, provides a wide range of educational opportunities for persons who are deaf from the elementary to postsecondary levels. It conducts a wide variety of basic and applied research, and provides public service programs for persons who are deaf and to professionals who work with persons who are deaf. To increase the effectiveness of its instructional programs, the University provides a variety of support services, including but not limited to communications training, counseling, social services, speech and audiological services, physical and occupational therapy, educational assessment and evaluation, family education, and medical services.

Program Administration

The Federal Government provides 98.7 percent of the funding for Gallaudet's elementary and secondary programs and approximately 65 percent of the funding for the University. The University is authorized by the Education of the Deaf Act of 1986 (EDA), which significantly expanded the monitoring and evaluation responsibilities of the Secretary of Education over Gallaudet's educational programs and activities and administrative operations. The operation of the institution is under the direction and control of a Board of Trustees.

Management Improvement Strategies

Gallaudet is developing a Vision Statement for the University that will guide the University's planning and determine the focus of the University's activities for the rest of the decade.

In FY 1990, Gallaudet initiated a process to reduce total staffing at the University by two percent per year over the course of 5 years. Gallaudet is in its third year of this initiative and plans to reallocate savings achieved from these reductions to provide additional funds for increases in faculty and staff compensation .

As a requirement of the 1992 Education of the Deaf Act Amendments, the Department and Gallaudet University have been working on a new agreement governing the operation and national mission activities of the Model Secondary School for the Deaf and the Kendall Demonstration Elementary School. In addition, the Amendments extend protections under Part B of the Individuals with Disabilities Education Act to children referred to these schools by parents or guardians, and contain provisions broadening the focus of the programs to include students not college bound and students with a broad spectrum of needs.

Also as a result of the 1992 EDA Amendments, the University has improved and expanded its annual reporting to the Department; has established policies prohibiting the use of Federal funds in specific areas; and has developed policies governing the allowability of expenditures in other specified areas.

In FY 1993, the Department completed a study of Gallaudet University's management, planning, and budget processes. The objective of the study was to assess the availability of information at Gallaudet that could be used to evaluate the effectiveness of the University's budgetary and planning processes, in addition to how operational and programmatic priorities are derived, and how well Gallaudet's priorities reflect the Federal mandate for its programs. A number of observations and recommendations have been raised by the study and the Department plans to work with the University to determine what changes may be indicated to address the study recommendations (III.5.).

Outcomes

Gallaudet University awarded degrees to 339 students in FY 1993. Of this number, 10 associate, 239 bachelor's, 89 master's and 1 Ph.D. degrees were earned.

III. SOURCES OF INFORMATION

1. Educating Students at Gallaudet and the National Institute for the Deaf (Washington, DC: General Accounting Office GAO/HRD 85-34, March 22, 1985).
2. Deaf Education: Cost and Student Characteristics at Federally Assisted Schools (Washington, DC: GAO/HRD-86-64BR, February 14, 1986).
3. Deaf Education: The National Mission of Gallaudet's Elementary and Secondary Schools (Washington, DC: GAO/HRD-87-133, September 30, 1987).
4. The Utility of Selected Data Bases for the Analysis of Educational Outcomes and Expenditures for Deaf Students (Washington, DC: Pelavin Associates, April 1990).
5. Review of Accounting and Budgeting Processes at Gallaudet University; Gallaudet University: A Comparative Analysis; and Gallaudet University Annual Budget Request Package (Washington, D.C.: Ernst and Young, August 1993).
6. The Education of the Deaf Act of 1986, as amended by Public Laws 102-421 and 103-73.
7. Gallaudet University's Annual Reports for Fiscal Years 1992 and 1993.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Ramon Rodriquez, (202) 205-8174 Fran Parrotta, (202) 205-8196
Program Studies	:	Barbara Vespucci, (202) 401-3630

TECHNOLOGY-RELATED ASSISTANCE
(CFDA Nos. 84.224 and 84.231)

I. PROGRAM PROFILE

Legislation: Technology-Related Assistance for Individuals with Disabilities Act of 1988, P.L. 100-407, Title I (U.S.C. 2201-2217) (expires September 30, 1998).

Purpose: The Technology Assistance program authorizes support for a variety of activities intended to enhance the ability of individuals of all ages with disabilities to obtain assistive devices and services. Major advances in technology have resulted in devices and help in learning to use them, and continued support is not always easily available or even known about.

The activities authorized are intended to:

- increase public and government awareness of the needs of individuals with disabilities for assistive technology devices and services;
- increase the availability of assistive devices and services, including helping States review or establish policies and procedures that may help ensure the availability of assistive devices; increase funding for the provision of devices and revise policies that impede device availability; build State and local capability to provide them; and improve coordination among public and private agencies; and
- increase the awareness and knowledge of the efficacy of assistive technology among persons with disabilities, their families, professionals who work with the disabled, employers, and other appropriate people.

Funding History

Fiscal Year	Appropriation
1989	$ 5,150,000
1990	14,814,000
1991	20,982,000
1992	28,000,000
1993	34,067,795
1994	37,744,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The population that receives services under this legislative authority includes a wide variety of persons with disabilities for whom assistive technology can help with tasks in daily life, in school training programs, and at the workplace.

In addition, this program is aimed at improving the knowledge and cooperation of persons who may work with or serve disabled persons, including staff of appropriate agencies and organizations, employers, family members, and others.

Services

Two main types of awards are made under this program: (1) discretionary grants to agencies designated by the Governors to develop comprehensive State programs that coordinate or directly serve persons needing assistive technology, and (2) demonstration and innovation grants in local agencies.

Grants to States Technology Assistance. This program provides for competitive discretionary grants to States to establish Statewide programs of technology-related assistance.

The State projects may carry out a wide variety of activities, depending on the particular needs in the State, including: identifying the number and needs of persons with disabilities for assistive technology; identifying and coordinating resources for services and devices; directly providing devices and services to those who need them; information dissemination and public awareness; training and technical assistance; assistance to Statewide and community-based organizations; partnerships and cooperative initiatives; improving staff qualifications; compilation and evaluation of data; and procedures for involving concerned citizens.

FY 1993 grants totaling $ 31.8 million were made to 52 States and Outlying Areas for this program. The projects have resulted in models of service delivery and support activities which can be adopted by other States and communities. For example:

- Utah established assistive technology service centers in five sites throughout the State. Each of these centers assesses more than 300 clients a year.
- Maine established an interactive cable television program which reached homes, offices, and classrooms throughout the State.
- Illinois set up a store-front information center and office in the State capitol.
- Colorado funded five "Assistive Technology Teams" through a competitive process. The teams are multidisciplinary, with individuals experienced in service delivery who meet with consumers and their families across the State on a regular basis. Colorado also funded a study to find out what programs already exist that will help

with the costs of assistive technology, and what barriers exist for access to these programs or to establishing new ones.

Demonstration and Innovation Grants. This program provides for awards to private agencies and organizations to operate model projects for delivering assistive technology and services; research; development; and loan projects. In 1990, the first year of operation for this program, 10 innovation projects were funded in private agencies for a total of $1.5 million. In FY 1993, 10 continuation awards were made. Projects included the following:

- work through local and cultural and community organizations to provide assistive technology training to traditionally underserved populations;
- an adaptive equipment loan financing plan for North Carolina Citizens with Disabilities;
- preservice preparation for careers in assistive technology; and
- development of video-based training materials to train rehabilitation counselors in the provision of assistive technology.

Program Administration

All awards are competitive, with the exception of one legislatively directed award to the National Council on Disability.

Under the State grant program, the development grants are awarded for 3 years. States may apply for an additional 2 years of funding if the Secretary of Education determines that the State made significant progress during the first grant. No State may receive more than 5 years of funding under this activity.

The Governor must designate a lead agency which applies for the State grant funding and coordinates with other appropriate agencies in the State. Lead agencies have included State vocational rehabilitation agencies, State education agencies, universities, health and human service agencies, and Governors' councils.

Management Improvement Strategies

The Secretary is required to develop an information system providing quantitative and qualitative data on the program's impact. In FY 1990, a 3-year technical assistance contract was awarded to provide help to the grantee States in implementing their development grants and to work with them in developing the information system. The contractor offers consultation on such matters as building a more efficient administrative structure, leadership training for improved project performance, strengthening consumer involvement, writing effective interagency agreements, effecting system change, and locating funding sources to help individuals acquire assistive devices. The contractor is also coordinating self-evaluations by the grantees.

In FY 1992, the National Institute on Disability and Rehabilitation Research (NIDRR) funded an evaluation of the feasibility of loan demonstration projects and on-site peer reviews of the first nine grantees to assess their suitability for extension grants.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None

V. CONTACTS FOR FURTHER INFORMATION

Program operations: Carol Cohen, (202) 732-1139

Program studies : Nancy Rhett, (202) 401-3630

PROTECTION AND ADVOCACY OF INDIVIDUAL RIGHTS (PAIR)
(CFDA No. 84.240)

I. PROGRAM PROFILE

Legislation: Rehabilitation Act of 1973, Title V, Section 509, as revised, P. L. 102-569 and P. L. 103-73 (20 U.S.C. 732) (expires September 30, 1997).

Purpose: PAIR provides support to State protection and advocacy systems (P&As) for the protection of the legal and human rights of individuals with disabilities. P&As are authorized under Part C of the Developmental Disabilities and Bill of Rights Act (DDA), P. L. 100-146. The PAIR program serves individuals with disabilities who need services that are beyond the scope of services provided by the Client Assistance Program (CAP) under Section 112 of the Rehabilitation Act and who are ineligible for services under the DDA and the Protection and Advocacy for Individuals with Mental Illness Act (PAIMI), (P. L. 99-319). PAIR became a formula grant program in fiscal year 1994.

Funding History

Fiscal Year	Appropriation
1991	$ 976,000
1992	1,074,000
1993	2,480,000
1994	5,500,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Services are provided to individuals with disabilities who are eligible for advocacy services under other programs. PAIR,in combination with CAP,and the programs authorized under DDA and PAIMI,allows P&As to serve all indivisuals with disabilities and provide a full range of legal services and advocacy.

Services

PAIR has the authority to pursue legal, administrative, and other appropriate remedies to protect the legal and human rights of individuals with disabilities who are not eligible for assistance under other advocacy programs. PAIR grantees annually develop objectives and priorities that are submitted to the public for comment.

Program Administration

By statute, only P&As authorized by the DDA are eligible to apply for grants. P&As are designated by the Governor and must be independent of direct service providers. Applications and annual reports are required.

Management Improvement Strategies

A portion of the PAIR appropriation must be set-aside for training and technical assistance for PAIR prsonnel. The Department of Education is collaborating with Department of Health & Human Services to provide these services under contract.

III. SOURCES OF INFORMATION

1. Annual reports and statements of objectives and priorities submitted by PAIR program grantees.

IV. PLANNED STIDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Parma Yarkin, (202) 205-8733

Program Studies : Sandra H. Furey, (202) 401-3630

OFFICE OF VOCATIONAL AND ADULT EDUCATION

Overview

LEARNING FOR WORK AND LIFE

This overview describes the Department's programs that support adult education (basic literacy, General Education Development preparation, and English as a Second Language) and vocational education at the secondary and postsecondary levels.

VOCATIONAL EDUCATION

The Carl D. Perkins Vocational and Applied Technology Education Act (Perkins Act) provided $1.183 billion in FY 1994 for vocational education at the secondary and postsecondary levels. Almost all high school students take some vocational courses; about 25 percent graduate as vocational students.

Most comprehensive high schools offer at least a limited range of exploratory classes, consumer and homemaking education, shop classes, programs on business and office occupations, marketing and distribution, and computers. Most students seeking more extensive vocational education can spend part of the week at an area vocational-technical center that offers a full range of occupationally specific programs--including career awareness training and counseling--and courses in trades and industries, health occupations, hotel management, computer technology, and food service. In addition, a few areas have vocational high schools that provide all the academic and vocational classes a student would need to graduate. Schools can use Perkins funds for all these activities.

States also use Perkins dollars to fund postsecondary vocational institutions. Community colleges enroll 66 percent of all postsecondary vocational students, proprietary schools have another 22 percent; and baccalaureate institutions have the remaining 12 percent. The most popular postsecondary programs are business, health occupations, and technical fields.

Employers familiar with vocational education have a high regard for it. Vocational education can help to reduce high school dropout rates and benefit special population students. However, the quality of vocational programs varies, as do student outcomes. Those who complete a coherent sequence of vocational education courses and find jobs in a training-related field benefit greatly, but many students do not complete or take such a program.

The 1994 National Assessment of Vocational Education (NAVE), conducted by the Department's Office of Educational Research and Improvement pursuant to the Perkins Act, noted several characteristics of vocational education and recommended further changes. Fewer students than are taking vocational courses in secondary school but a higher percentage of those enrolled are special population students. The NAVE found that several years of vocational experience make a teacher more effective, but that additional years of work experience do not help and that additional years of postsecondary education do. Most schools still need to integrate academic and vocational courses into coherent sequences, and vocational and academic teachers need training to develop integrated curricula. Overall, the NAVE found that there are problems with the quality of secondary vocational education but that comprehensive reform efforts led by the States are improving program quality.

I. GOVERNANCE

States define, administer, and monitor performance of their vocational education programs. States must have a board of vocational education that develops a State plan in consultation with the State Council on Vocational Education or the State Human Resource Investment Council and relevant State agencies. The State board also develops and implements a system of core standards and measurements of performance for vocational programs.

Each State decides how to divide its funds between secondary and postsecondary programs and allocates Perkins funds to institutions, not to individual programs. Local education agencies (LEAs) then generally have the authority to offer specific programs in the schools in their districts, within the parameters of two Federal allocation requirements noted in Section II below.

The bulk of funding under the Perkins Act is awarded through Title II, the basic State grant program. Title I is the 5 percent reserved for State administration, Title III supports special programs to which Tech Prep was added in 1990, and Title IV, in part, supports national programs and activities.

II. BASIC STATE GRANTS

LEAS and postsecondary institutions receive basic grant funds according to intrastate formulas and based on local plans submitted to the state that set minimum grants of $15,000 for school districts and $50,000 for postsecondary institutions. Those whose enrollments do not qualify them for this minimum may apply for funding as consortia with other districts or institutions. This minimum allocation requirement was enacted after it was discovered that the median award to school districts in 1986-7 was $7,900, too small to support high quality vocational education.

As a result of the targeting changes in the 1990 Act that placed increased emphasis on the Chapter 1 shares and the number of students with disabilities served under IDEA, districts with higher concentrations of students from poor families increased their share of basic state grant allocations by 11 percent. The consortium provision reduced the number of awards from 7,625 in FY 1991 to 3,958 in FY 1992. Seventy-four percent of all school districts receiving Perkins funds are now part of a consortium.

On average, less than 40 percent of the funds from basic State grants go to postsecondary institutions, but States allocate as little as 8 percent and as much as 91 percent to postsecondary institutions. Students enrolled in postsecondary vocational education may have additional

Federal funding through Pell grants and other training programs.

III. TECH PREP

The Tech Prep Program, authorized under Title III of the 1990 Act, involves two years of secondary vocational education followed by two years of postsecondary vocational education or apprenticeship that: 1) lead to an associate degree or certificate; 2) provide technical preparation in at least one of several specific fields; 3) build student ability in science, math, and communications through sequential courses; and 4) lead to employment. Tech Prep is authorized as a State grant program when the appropriation exceeds $50 million. Funding grew from $63 million in FY 1990 to $104 million in FYs 1993 and 1994. The Perkins Act funds grants to consortia of local education agencies and postsecondary institutions to develop and implement Tech Prep Programs. Most States award these grants competitively.

The quality of Tech Prep Programs is uneven, according to the NAVE. Some are merely Tech Prep labels on vocational education, many are just agreements between high schools and postsecondary schools about sequences of courses, but some truly reflect a commitment to integrating a student's preparation for entering a vocational field over four years of study.

IV. OUTCOMES

Students enrolled in secondary vocational programs have high school dropout rates of less than half that of nonvocational students (7 percent versus 15 percent in a study of career academies, and 12 percent versus 31 percent in vocational and general high schools). However, vocational education students do not seem to be more likely than those in general education to enroll in postsecondary education.

Labor market returns increase with more years of schooling in general as well as with postsecondary vocational training in particular. This is partly because postsecondary students are more likely than high school graduates to find jobs in the field in which they trained, and they are more likely to have higher wages and stay longer in their jobs than people in jobs unrelated to their training. This appears to be true even for those who begin but do not complete postsecondary vocational training. However, fewer than half of vocational students find training-related jobs.

Vocational education seems to provide greater economic gain to women than to men, and students with disabilities also show greater economic benefits than others as a result of vocational training. The NAVE recommended that secondary vocational classes focus more on industry-wide training rather than job-specific procedures to help students prepare for vocational careers. It also advocated the creation of a national framework for industry-based skill standards to apply to all levels of vocational education and training.

Special population students are over-represented in secondary vocational education but still have less access to high quality vocational education than do other students because they are not located in suburban areas near the majority of area vocational schools. Special population students concentrate in areas that do not include technical education such as food service. At the postsecondary level, more special population students are enrolled in proprietary schools than elsewhere, reflecting a desire for short-term, intensive training to improve earnings quickly.

V. SCHOOL TO WORK OPPORTUNITIES ACT

The School to Work Opportunities Act of 1994 provides funds for States to develop coherent systems that facilitate the transition of young people from high school to advanced training and/or the workplace. Eight States were awarded grants to implement school-to-work transition systems under the Cooperative Demonstration Program. They received a total of $43 million in FY 1994 funds, with funding renewals expected for an additional four years. All other states, as well as selected localities and organizations in high poverty areas, received grants to develop plans for implementing school-to-work systems. State school-to-work systems will include a school-based learning component, a work-based learning component, and connecting activities between the two components.

ADULT EDUCATION

The Adult Education Act (AEA) authorizes grants to States to fund education programs for adults at least 16 years old who lack a high school diploma, and for educationally disadvantaged adults who lack the English language skills or basic literacy skills necessary to function in society. It also funds several national literacy programs. In FY 1994, the Department gave out $254.6 million in basic State grants. These funds are used primarily for three types of education: 1) Adult Basic Education (ABE) to teach adults with literacy skills below the eighth grade level; 2) Adult Secondary Education (ASE) to prepare students to obtain a high school equivalency diploma; and 3) English as a Second Language (ESL), now the most popular program.

The following information is drawn from sources that include the National Adult Literacy Survey (NALS); Census Bureau data; the National Evaluation of Adult Education Programs; and State performance reports.

I. PARTICIPATION

The 2.6 to 3.7 million people who used AEA services in 1991 represent only a small percentage of the approximately 44 million eligible adults. Participants are disproportionately young and Hispanic and Asian/Pacific Islander (see Table 1). Virtually all participants are younger than 45 years of age while more than half the target population is older than 45.

Almost half of adult education participants are enrolled in ESL classes, a proportion that has grown dramatically in recent years. Most of the ESL participation is in the West. Compared with adults enrolled in ABE or ASE programs, ESL participants tend to be Hispanic, male, urban, and employed; relatively more have a high school or equivalency diploma; and fewer receive welfare.

ESL students tend to remain in the program longer than students in the other programs and therefore receive more instruction. Some program characteristics, such as day-time classes and available support services, are linked with higher persistence rates.

Table 1 **Characteristics of AEA clients enrolling between April 1991 and April 1992**

	new ESL clients	new ABE and ASE clients
Race/ethnicity		
White, non-Hispanic	8%	61%
Black, non-Hispanic	2	22
Hispanic	67	12
Asian/Pacific Islander	22	2
Native American/ Alaskan Native	<1	3
Age		
16-30	62%	68%
31+	38	32
Have high school diploma or GED	53%	11%
Employment status		
Employed	46%	40%
Unemployed	18	27
Not in labor force	36	33

II. GOVERNANCE AND FUNDING

The AEA gives States some latitude in how they administer and organize their programs. States and localities spend about four times the Federal amount on adult education, a total of $800 million in 1991-1992. While the non-federal share averages 80 percent of funding across the States, the actual percentages range from 21 percent in some states to 96 percent in others. A recent study concluded that 55 percent of all adult education spending is from state funds, 25 percent from the AEA, 6 percent from other federal funds, and the remaining 14 percent from other sources (see Table 2).

The AEA has several funding requirements:

- 10 percent of funds are for adults institutionalized in correctional or other institutions;
- no more than 20 percent can be spent on ASE programs or General Educational Development (GED) preparation;
- at least 10 percent is for teacher training and at least 5 percent for demonstration projects; and
- no more than 5 percent of Federal funds may be used for State administration.

Beyond these requirements States allocate their money in a variety of ways.

Table 2 **Adult Education Funding Since 1980**
in millions

Year	Federal (actual) & % of total	State (actual)	Total (actual)	Total (in 1980 dollars)	% change (in 1980 dollars)
1980	$100.0 (57%)	$74.3	$174.3	$174.3	
1982	86.4 (40%)	128.6	215.0	185.8	6.6%
1984	100.0 (34%)	196.6	296.6	233.4	25.6
1986	97.6 (23%)	319.9	417.5	303.1	29.9
1988	115.4 (19%)	491.3	606.7	408.2	34.7
1990	157.8 (20%)	622.0	779.8	484.3	18.6
1992	235.7 (26%)	657.3	893.0	523.3	8.1

The majority of the more than 4,000 adult education providers are LEAs, but that proportion is declining. More than half of all providers serve non-metropolitan areas and most providers are not in school buildings. States fund providers based on program design, past performance, and community need. Recent AEA changes provide funding for non-traditional providers such as community-based organizations.

The cost per pupil of adult education differs across programs and seems low because many students leave programs after only a few hours of instruction. A recent study found the average cost per participant hour to be $6.11 for ABE, $5.12 for ASE, and $4.28 for ESL.

Beyond the basic State grants that fund these programs, the AEA also funds competitive demonstration grants in the National Workplace Literacy Program. These are partnerships between at least one education organization and at least one business, industry, labor organization, or private industry council. Funding has increased from $9.57 million in FY 1988 to $18.9 million in FY 1994. The program targets adults who need to increase their literacy skills to improve their job performance. It may offer the three adult education programs as well as training designed to improve workers' literacy in job-specific areas.

III. SERVICES

More than half of all providers offer all three types of adult education programs, and 57 percent emphasize individualized academic instruction rather than life skills or workplace skills. Programs use a variety of modes of instruction and try to meet students' non-educational needs; 42 percent report they met their clients' counseling needs, 82 percent meet at least some of the need for aid in searching for a job, and 50 percent provide adequate transportation. Programs did not place as high a priority on providing child care (60 percent offered none) or health services (70 percent did not meet clients' health needs).

More than 80 percent of adult educators are part-time teachers who have degrees in elementary and secondary education. States provide short-term, in-service training for teachers because few courses exist to certify adult educators. Almost 75 percent of all providers use volunteers, most of whom work as tutors.

IV. OUTCOMES

Under the 1990 reauthorization of the AEA, the Department developed indicators of the quality of adult education programs that take into account recruitment, retention, educational gains, program planning, curriculum and instruction, staff development, and support services. The Department also developed a model for States to evaluate their programs, but local and Statewide data collection and analysis are still too unreliable to provide accurate information.

The AEA student who attends at least one class receives a median of 58 hours of teaching and shows modest positive improvement in literacy. About one-third of clients stay long enough to advance one instructional level. ESL clients stay enrolled an average of 30 weeks, longer than ABE or ASE clients who average 20 weeks and 17 weeks, respectively. Seventy-two percent of all adult education clients, when interviewed six months after leaving the program, reported that they planned to continue their education within the next two years.

Former ESL clients are most likely to report job-related benefits from their participation in the program. As a group, ESL clients improve their reading skills in functionally important ways and are capable of holding jobs that require them to understand simple text. Reading gains are correlated positively with the client's original English reading ability, the cost of instruction, and total hours of instruction.

The average ABE client enters the program reading at a level equivalent to the beginning of sixth grade and finishes at the equivalent of the end of the first semester of seventh grade. Improvement is influenced by voluntary attendance, the presence of full-time staff, highly individualized curriculum, and a mixture of classroom and laboratory practice.

ASE clients gain an average of half a grade of reading comprehension and leave the program reading at the ninth-grade level. Students who receive a GED may also improve their future employment or education.

VOCATIONAL EDUCATION--BASIC GRANTS TO STATES
(CFDA No. 84.048)

I. PROGRAM PROFILE

Legislation: Carl D. Perkins Vocational Education Act (P.L. 98-524), Title II, Part A and Part B (20 U.S.C. 2331-2334 and 2341-2342 respectively) (expires September 30, 1995).

Purposes: It is the purpose of this Act to make the United States more competitive in the world economy by developing more fully the academic and occupational skills of all segments of the population. This purpose will principally be achieved through concentrating resources on improving educational programs leading to academic and occupational skill competencies needed to work in a technologically advanced society.

Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation
1965	$168,607,000	1986	$743,965,099
1970	342,747,000	1987	809,507,974
1975	494,488,000	1988	798,665,863
1980	719,244,000	1989	825,600,408
1981	637,315,000	1990	844,429,254
1982	587,736,648	1991	848,359,869
1983	657,902,000	1992	940,171,000
1984	666,628,758	1993	962,524,509
1985	777,633,758	1994	955,566,000

1/ These amounts include funds provided to the States each year under the Smith-Hughes Act's permanent appropriation. For FY 1965 through FY 1984, the amounts represent funds appropriated under P.L. 94-482. For FY 1985 through FY 1990, the amounts represent funds appropriated under P.L. 98-524 and for FY 1991 through FY 1994 P.L. 101-392.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Following up on its 1991 study of State performance standards systems required by the Perkins Act of 1990, the National Center for Research in Vocational Education surveyed State vocational education directors to assess the status of their efforts as of Fall 1992 (III.6). By this time, all States had implemented more than the required two performance standards and measures. At the secondary level, 44 States had adopted 4 to 10 measures, while 42 States had adopted 4 to 10 measures at the postsecondary level. Somewhat fewer States had set standards, for these measures, in part because they need baseline data.

National Assessment of Vocational Education (NAVE), was mandated by the Perkins Act Amendments of 1990 to conduct an assessment of vocational education programs assisted under the Act. NAVE findings from data collected and analyses conducted over a period of 3 years are contained in an interim and final reports (III.7 and 8).

States are making substantial progress toward development of systems of performance standards and measures, but there has been little implementation at the local level (III.7).

- Most States have gone beyond the requirements of the Perkins Act, developing fuller arrays of performance measures than required and applying them to all vocational programs, not just those receiving Perkins funds.

  --Over 80 percent of States expected to adopt secondary and postsecondary standards and measures by the end of the 1992-93 school year; the NAVE final report will provide additional follow up.

  --At the secondary level, 37 States apply the standards and measures to all vocational education programs, not just to those programs receiving Perkins funding. At the postsecondary level, 33 States apply the standards and measures to all vocational education programs.

- There is substantial variation in the performance measures being developed across States. Eighty-six percent of States intended to implement measures of special population enrollment and 84 percent intended to collect measures of basic academic skills and of employment in the 1992-93 school year. But only 70 percent of States intended to implement measures of advanced academic skills, 66 percent intended to collect program completion rates, and only 36 percent intended to collect information on awarding of certificates.

- However, most of the new systems of performance assessment are not yet functioning at the local level, and it is not clear how or to what extent they will be used to improve vocational education programs.

  --Few States have devoted any resources to training for using the system as a tool to improve programs, and few districts have devoted resources to planning for measures and standards.

  --State efforts to develop measures of occupational skills at the secondary level have been weak.

Population Targeting and Services

Consistent with the intent of the 1990 Amendments, NAVE found that funds were concentrated among fewer institutions and funds were better targeted on institutions with a large number of special population students (III.7, 8). However, changes were mixed:

--For the 20 percent of districts with the highest concentrations of special population students, changes to the allocation formula increased the per-pupil award substantially, while there was also a substantial increase in funding for districts with some of the lowest proportion of special population students due to the "consortia" provision (see page 401-4).

- Districts with higher concentrations of students from poor families increased their share of the State allocation by about 11 percent nationally, resulting in somewhat larger per-student awards in those districts.

  --Between FYs 1991 and 1992, funding to school districts in large- and medium-sized cities increased relative to other districts. For 48 of the 51 largest cities for which school district award data are available, the average award increased an average of 26.5 percent from $1,247,523 to $1,578,029. In only eight of the 48 cities did school districts actually lose funds; these cities are located in four States that had policies favoring the largest cities even more than the current formula.

- A minimum for basic grants to local districts was set at $15,000 to forestall the distribution of very small awards. Districts are allowed to form consortia in order to qualify for the minimum grant.

  --Between FYs 1991 and 1992, the number of awards decreased from 7,625 to 3,958; the mean award rose from $44,516 to $99,616. This change occurred because many school districts combined to form consortia; 74 percent of all school districts receiving Perkins funds are members of consortia. Consortia are most common in midwestern States and have fewer students from poor families and fewer minority students than individual districts receiving awards.

  --The formation of consortia has resulted in broader participation in Perkins basic grant funding at the district level, resulting in less concentration of funds. However, area vocational consortia or cooperative agreements are likely whereby consortia pass the funds through to area vocational schools. However, because information on allocations at the sub-consortia level are unavailable, it is not clear how much effect this change has had on individual districts. Additional information will be included in the final report.

At the secondary level, the issue of access to vocational education for special population students has become an issue of access to high-quality programs (III.7, 8).

- Special population students, especially educationally disadvantaged students and disabled students, are over-represented in vocational education. In 1992, the 34 percent of all high school graduates who are members of special population groups earned 43 percent of all vocational credits.

  --Perkins requires State plans to provide assurances that local districts actively recruit special populations students to vocational education. However, active recruiting may be resulting in the over-inclusion of special population students.

  --In some districts, vocational teachers and administrators are concerned that vocational education programs are becoming "dumping grounds" for the hard-to-educate.

- Area vocational schools are often considered superior to comprehensive high schools because their specialized facilities offer a wider array and greater depth of vocational training, but access to these institutions is limited for special populations.

  --Many area vocational schools also provide separate vocational education classes for the disabled. While only 4 percent of students at schools with access to an area vocational school are disabled, 16 percent of area vocational students are disabled.

  --Although comprehensive high schools with access to area vocational schools send a disproportionate share of special populations students to them, overall, at the secondary level, access of special population students to area vocational schools is still limited because special populations are located in central cities and rural areas while most area vocational schools are in suburban areas.

- A wide range of supplemental services are funded by the Perkins Act, with the main use of Perkins funds typically being to pay for staff to provide these services. Perkins-funded districts already provide more supplementary services than other districts--possibly because Chapter 1 and IDEA funds are also targeted to these districts.

Postsecondary vocational education enrollments are increasing along with total postsecondary enrollments (III.7, 8).

- From fall 1986 to fall 1989, enrollments increased about 15 percent in both vocational and academic postsecondary programs, in part because of higher college attendance rates (from 54 percent to 60 percent) for recent high school graduates.

- At the postsecondary level, almost all Perkins funds go to public institutions. Most postsecondary vocational (occupational/technical) education is provided in public, two-year community colleges (64 percent). Private proprietary schools are the second largest providers (22 percent).

- Postsecondary institutions are more likely than their secondary counterparts to be working on cross-curriculum integration efforts and to be developing new integrated courses. Occupational majors and course prerequisites are also common in postsecondary programs.

- Postsecondary vocational programs also tend to have more special population students than other programs, but enrollments have remained stable. "Dumping" and stigmatization are not issues at the postsecondary level.

- The greatest differences in postsecondary vocational education are between institutions. Proprietary schools and public technical institutes, which are exclusively vocational, have the highest proportions of special population students. Within community colleges, which have lower proportions of special population students, these students are as likely to be found outside of vocational programs as in them.

Program Administration

Basic Grants programs operating during FY 1992 and FY 1993 were supported by funds appropriated for FY 1991 and FY1992, respectively, under P.L. 98-524. Under those authorizations, after setting aside up to five percent of the basic grant award, or $250,000, whichever is greater, for administration, States were required to allot 75 percent of their basic grant for the secondary school vocational education program and the postsecondary and adult vocational education programs. In addition, at least seven percent of the Basic Grant is to be used to support programs for single parents, displaced homemakers, and single pregnant women, while at least three percent of the basic grant must be used to operate a sex equity program. Ultimately, 10.5 percent of the basic grant must be spent for these purposes. Not more than 8.5 percent of the basic grant must be expended for State programs and State leadership activities. Finally, 1 percent of the basic grant is to be expended for programs for criminal offenders.

Seventy percent of the allocation of basic grant funds to local education agencies (LEAs) is based on the LEA's proportion of the State's allotment under section 1005 of Chapter 1. Twenty percent is predicated on the number of disabled students served by the LEA; and 10 percent of the basic grant award is based on student enrollments. With respect to allocations to postsecondary institutions, funds are dispersed on the basis of each eligible recipient's proportionate share of the State's number of vocational students who are Pell Grant recipients, as well as those students who receive assistance from the Bureau of Indian Affairs.

The Perkins legislation establishes a minimum grant of $15,000 for LEAs and $50,000 for eligible postsecondary institutions. For LEAs with a projected allocation of less than $15,000, the option exists to form consortia with other LEAs to operate joint programs and/or services, thereby enabling smaller LEAs to participate in federally funded vocational education programs.

Outcomes

Although the average number of credits completed by high school students continues to increase, vocational coursetaking has been decreasing (III.7, 8).

- The average number of credits completed by high school graduates rose from 22.8 in 1987 to 23.5 in 1990. During this time period, the average number of academic credits rose from 15.6 to 16.7 while the average number of vocational credits declined from 4.4 to 4.1. Most of the increase in academic credits has been in math courses at the level of algebra or higher and in science courses except physics.

- The reduction in vocational coursetaking from 1987 to 1990 resulted mainly from more students taking only a few vocational courses and fewer students taking large numbers of courses. Thirty percent of graduates took six or more vocational courses in 1987 compared with 27 percent in 1990. Enrollments have declined most in the largest vocational program areas--business and trade and industry.

  --Students whose grades are mainly As and Bs have reduced their vocational coursetaking much more than have C and below-C students. In fact, below C students slightly increased the average number of vocational credits they earned. In short, vocational courses are increasingly being taken by disabled and educationally disadvantaged students.

Vocational education at both the secondary and postsecondary levels can have significant benefits (III.7, 8).

- High school graduates who complete a coherent sequence of vocational courses are more likely to find training-related jobs, earn more in these jobs, and are less likely to be unemployed over time.

- However, secondary students were less likely to concentrate their vocational coursework in 1990 than in 1987.

  --The ratio of first- to second-or-higher courses is a measure of the extent to which students take sequenced vocational programs. In 1987, students took about 2.7 first-level courses for every upper level course, compared with a ratio of 3.5 in 1990. Among graduates who earned at least three credits in one specific labor market area (agriculture, business, etc.), the ratio was 1.7 in 1987, but increased to 2.2 in 1990.

  --The percent of graduates earning at least four credits in specific labor market areas declined from 32 percent in 1987 to 28 percent in 1990. Moreover, among high school graduates earning at least four credits in one specific labor market area, 42 percent took at least two of those credits at second-or-higher levels in 1987 compared with only 29 percent in 1990.

- Students with disabilities who take vocational education are more likely to be employed than those who do not. Participating in work experience programs increases their likelihood of finding a job, and taking a coherent sequence of vocational courses increases their earnings. Disabled students with vocational training also tend to have better grades and attendance records than other disabled students and are slightly less likely to drop out of school.

- Postsecondary students who complete non-baccalaureate programs receive more labor market benefits than secondary students, in part because they have more years of education, and because they are much more likely to find jobs related to their training. Based on 1990 Survey of Income and Program Participation (SIPP) data, 61 percent of those ages 18 to 34 who had attained a postsecondary degree in a vocational field found training-related jobs. Seventy-seven percent of those with training-related jobs were employed the entire two-year period prior to the survey compared with 64 percent of postsecondary vocational education graduates whose jobs were not related to their training. Postsecondary graduates with training-related jobs also had higher wages than those whose jobs were not related to their training--62 percent made more than $2,000 per month compared with 54 percent, respectively.

  --The previous NAVE (III.2) found that postsecondary students in less-than-four-year public institutions (which account for almost three-quarters of vocational enrollments) were increasingly leaving school without credentials. Twenty-three percent of graduates of the high school class of 1972 who enrolled in a community college had earned a credential four years after high school graduation--compared with 19 percent of graduates of the high school class of 1980. Thirty percent of the class of 1972 who enrolled in a community college had left with no credential within four years after high school graduation compared with 42 percent of the class of 1980. Data are not yet available on more recent trends.

  --The proportion of vocational students enrolled in proprietary institutions increased from 1986 to 1989, while the proportion enrolled in community colleges declined. The growth in proprietary schools reflects a combination of factors: the demand for short-term programs, increased access to Federal funding, and aggressive marketing by proprietary schools. The growth in proprietary schools is significant since these institutions serve disproportionately high percentages of minority and low-income students and proprietary student default rates tend to be high.

The Perkins Act has affected local programs. Compared with districts that did not receive Perkins grants, funded districts have taken more steps to integrate curricula and to develop tech-prep programs (III.7, 8).

- Districts receiving Perkins basic grant funds are more likely than others to report taking steps to integrate the academic and vocational education curricula and to articulate secondary and postsecondary programs. However, these efforts are not well developed, and a key question is how much these efforts represent minor adaptations of existing curricula and how much they represent small beginnings of larger, more systemic reforms.

  --Although most secondary school districts report taking steps to integrate their curricula, very little academics are taught in vocational classes, and vice-versa.

  --Vocational courses at the high school level tend not to have pre-requisites, a characteristic that increases access, but decreases the chances of aligning vocational courses with relevant academic courses.

- Some Perkins reforms and program improvements such as integrating curricula, adding vocational student organizations and career exploration courses, are associated with increasing vocational enrollments. Based on NAVE's survey of district vocational education administrators, each additional step (based on a list of 10 potential steps) taken to integrate academic and vocational enrollments resulted in a 1.4 percent increase in vocational education enrollments in the district between 1987 and 1992.

- As with academic and vocational integration, tech-prep efforts at present tend to be widespread, but not well developed. Hundreds of tech-prep initiatives are reported by postsecondary institutions, and thousands by school districts. Most are still in the earliest stages of planning and implementation. Most have no students yet; those with students tend to be small, and the definition of tech-prep students is often hazy.

  --Tech-prep articulation between secondary and postsecondary curricula is usually on a course-by-course, rather than a program, basis and student participation is often ill-defined.

  --Most tech-prep programs emphasize advanced credit for postsecondary institutions, including taking postsecondary courses as a high school student, rather than the development of advanced skills in secondary courses.

- NAVE presents no new information on work experience or work-based learning programs such as youth apprenticeships and co-op programs. While there have been few evaluations of such programs, evidence from literature reviews suggests that the quality of such programs varies.

--Co-op students show a higher level of satisfaction with school than other high school students as well as an improved attitude toward both school and work, but the data on economic outcomes are mixed.

--Studies comparing economic outcomes of students who work during high school with those of non-workers find that those who worked (the majority of whom find employment on their own) have higher wages in the first few years after leaving high school than those who didn't work, but none of the studies control for selection bias.

- Evidence suggests that support for Perkins reforms by State agencies can affect local implementation and that those reforms are positively related to vocational enrollments. Only a minority of districts report strong State support for Perkins reforms, but those districts are more likely to report increased efforts in integration of academic and vocational education as well as the development of performance standards.

Most vocational teachers feel ill-prepared to teach academics, and academic teachers are even less likely to feel prepared to teach occupational principles (III.7, 8).

- Vocational teachers, and trade and industry teachers in particular, do not have the academic background necessary to facilitate the integration of academic and vocational curricula.

  --Secondary vocational courses have some academic content, but not much, and that which is taught tends to be basic. Only small proportions of vocational teachers report spending more than 10 percent of class time on most academic subjects.

- The division between secondary academic and vocational systems is still pronounced. Academic teachers are more likely to coordinate courses among themselves than with vocational teachers, and the latter also tend to coordinate among themselves. Indeed, there is evidence of resistance to integration that requires changing long-established assumptions and patterns of behavior. The resistance seems to be stronger among academic teachers and administrators, but is by no means absent on the vocational side.

III. SOURCES OF INFORMATION

1. Program files.

2. National Assessment of Vocational Education (NAVE) Final Report, (Washington, DC: U.S. Department of Education, Vol. I, July 1989, Vol. II, May 1989).

3. Vocational Education in the United States: 1969-90 (Washington, DC: U.S. Department of Education, National Center for Education Statistics, April 1992).

4. Vocational Education: Status in School Year in 1990-91 and Early Signs of Change at

Secondary Level (Washington, DC: General Accounting Office (GAO)/HRD-93-71, July 1993).

5. Vocational Education: Status in 2-Year Colleges in 1990-91 and Early Signs of Change (Washington, DC: General Accounting Office (GAO)/HRD-93-89, August 1993).

6. State Systems for Accountability in Vocational Education (University of California, Berkeley: National Center for Research in Vocational Education, December 1992).

7. National Assessment of Vocational Education Interim Report to Congress (Washington, DC: U.S. Department of Education, December 1993).

8. National Assessment of Vocational Education Final Report to Congress, Volumes I-V (Washington, DC: U.S. Department of Education, July 1994).

IV. PLANNED STUDIES

The Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 authorized a new national assessment, although no funds were appropriated for this purpose in FY 1991. An interim report was submitted to Congress on January 1, 1994. A final report was due by July 1, 1994.

Through studies and analyses conducted independently after competitive awards, the new assessment will include descriptions and evaluations of:

- Implementation studies on administration and practice. The effect of the Perkins Act Amendments of 1990 on State and tribal administration of vocational education and on local vocational education practice.
- Implementation studies on funding. Federal, State, and local expenditures to address program improvement; the impact of the within-State allocation requirements; the effect of funding flexibility on services to special populations; the distribution of Federal vocational education funds to the States.
- General and special populations studies. Participation of general and special populations in vocational education; access to high-quality programs; the effect of statutory requirements on criteria for services to special populations.
- Quality of vocational education. Preparation and qualifications of teachers; shortages of teachers; the extent and success of academic/vocational integration; articulation between secondary and postsecondary programs; effect of performance standards on vocational education; academic outcomes; effect of educational reform on vocational education.

- Employment studies. School-to-work transition; employment outcomes and the relevance of vocational training to occupations; employer satisfaction and involvement.

- Special studies. Coordination of services under the Perkins Act Amendments of 1990, the Job Training Partnership Act, and other Federal programs; vocational education in tribal institutions; vocational education in correctional facilities; involvement of minority students in vocational student organizations.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Ron Castaldi, (202) 205-9444
Program Studies	:	Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION--INDIAN AND HAWAIIAN NATIVES PROGRAMS
(CFDA No. 84.101)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational Education Act (P.L. 95-524), Title I, Part A, Section 103 (20 U.S.C. 2313), (expires September 30, 1995).

Purpose: To provide financial assistance to eligible Indian tribes and to organizations serving Native Hawaiians to plan, conduct, and administer vocational education programs authorized by, and consistent with, the Perkins Act.

Funding History

Fiscal Year	Appropriation American Indians	Hawaiian Natives
1977	$ 5,281,476	0
1980	6,929,755	0
1981	6,182,654	0
1982	6,186,230	0
1983	5,936,734	0
1984	6,645,484	0
1985	9,895,639	$ 1,979,128
1986	9,564,367	1,912,873
1987	10,414,352	2,082,870
1988	10,462,777	2,092,555
1989	10,808,990	2,220,793
1990	11,099,592	2,201,990
1991	11,104,009	2,220,793
1992	12,352,107	2,518,833
1993	12,643,631	2,528,672
1994	12,635,000	2,527,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Program files show that job placement rates for program participants range between 67 to 100 percent.

Population Targeting

This program targets 1) tribal organizations of any Indian tribe that is eligible to contract with the Secretary of the Interior under the Indian Self-Determination and Education Assistance Act, or under the Act of April 16, 1934; 2) Bureau of Indian Affairs funded schools offering a secondary program. Any tribal organization or Bureau-funded school may apply individually or jointly as part of a consortium with one or more other eligible applicant.

Services

This program trains students in technical areas (e.g., engineering technology, industrial or practical art or trade, etc.) as well as academic competencies (e.g., mathematics, science, etc.) which will result in an associate degree or two-year certificate or placement in employment.

Program Administration

The program office is in the process of restructuring the Indian Vocational Education Program (IVEP) so that beginning with the 1996 grant competition, it can invite applications for this program every three years rather than every year. The Department expects that this restructuring effort will allow for more constructive use of limited personnel while continuing to meet effectively the needs of project grantees. This program is administered under the Division of National Programs.

Outcomes

Placement rates for American Indian projects range from 67 to 100 percent. Among the grantees with the highest placement rates are the NANA Regional Corporation in Anchorage, Alaska, and the Mississippi Band of Choctaw Indians.

- In Alaska, the Red Dog Indian Vocational Project provides training in mine operations, maintenance, and materials management. Of the 104 Native Americans who completed training by 1992, all were placed in apprenticeship positions in the Red Dog zinc mine.
- In Mississippi, the Band of Choctaw Indians has provided training primarily in the open cable and electrical wire harness trade. Of the 313 Native Americans who completed training, all were placed in jobs; 236 were employed by the Chahta Enterprise, a tribally owned enterprise. In addition, 298 employees of the Chahta Enterprise received training to upgrade their skills.

Management Improvement Strategies

American Indians

The Department of Education has worked with grantees to improve job placement by giving special consideration to grant recipients that link their programs with a tribal economic development plan as required by law.

The Department provides training materials and technical assistance to all Indian tribes in an effort to develop high-quality vocational education programs.

Hawaiian Natives

The program for Hawaiian Natives Vocational Education under the Perkins Act stipulates that grants can only be made to organizations that primarily serve and represent Hawaiian Natives and are recognized by the Governor of the State of Hawaii. Thus far, only one organization, Alu Like Inc., has received this recognition and has thus received all the available funds. Alu Like is a nonprofit organization with the primary mission of assisting Hawaiian Natives to achieve social and economic excellence (III.2).

The mission of the Hawaiian Natives Vocational Education program administered by Alu Like is to foster changes in the Hawaiian vocational education delivery system to ensure that Native Hawaiian students participate in, and benefit from, vocational education to the same degree as other ethnic groups in the State. Goals of projects funded by the program include increasing the number of Native Hawaiian vocational education high school students who pursue vocational education at the community college level, adoption of methods culturally appropriate for teaching basic academic skills to Native Hawaiians at the intermediate level, improving the retention and completion rates of Native Hawaiians enrolled in community college vocational education programs, and establishing community-based vocational education facilities to assist Hawaiian Native adults to reenter the public vocational system.

The University of Hawaii Community College Student Retention Model, which is supported in part by the program, includes a data collection system that is being updated to track the progress of Native Hawaiian students in community colleges. An outreach effort is continuing to recruit Native Hawaiian high school students for enrollment in community college programs and to assist students in continuing in higher level programs.

The grantee is working with the private sector to develop training alternatives in occupations such as home health care and small business management. Cooperative learning is being used in schools as a culturally appropriate and effective means of educating Hawaiian Native students.

III. SOURCES OF INFORMATION

1. Program files.
2. Pelavin, Diane C., Levine, Andrea B., and Sherman, Joel D., Descriptive Review of Set-Aside Programs for Hawaiian Natives (Washington, DC: Pelavin Associates, April 1989).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Indian Vocational Education: Roberta Lewis, (202) 205-5680

Program Operations : Native Hawaiian Vocational Education:
Kate Holmberg, (202) 205-5563

Program Studies : Manny Smith, (202) 401-1958

VOCATIONAL EDUCATION--COMMUNITY-BASED ORGANIZATIONS PROGRAMS
(CFDA No. 84.174)

I. PROGRAM PROFILE

Legislation: Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392), Title III, Part A (20 U.S.C. 2351-2352, 2471) (expires September 30, 1995).

Purpose: To provide States with financial assistance to operate programs that provide special vocational education services to disadvantaged youth who are not adequately served by the regular vocational education system. Projects must involve the collaboration of public agencies, community-based organizations (CBOs), and business.

Funding History

Fiscal Year	Appropriation
1987	$ 6,000,000
1988	8,845,000
1989	8,892,000
1990	10,850,000
1991	11,710,848
1992	12,000,000
1993	11,784,960
1994	11,784,960

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Community-based organizations program activities are intended to reach and provide services to youths ages 16 through 21 that will help them enter and succeed in vocational programs, employment, and other education and training. Title III, Part A, of the Perkins Act is restricted to certain activities specified in the next section. Funds are allocated based on a statutory formula to States upon submission and approval of a State plan that addresses State needs. In FY 1993, 53 grants were made to the States, the District of Columbia, Puerto Rico, and the Virgin Islands.

A descriptive study of the CBO programs published in March 1990 (III.2), provided information about State administration and funding of local projects and about local project implemementation. The study found that:

- Most States use grants competitions to fund vocational education at community-based organizations.
- A variety of organizations, including private nonprofit organizations, neighborhood associations, and social service groups receive funding.
- States tend to distribute funds widely among a large number of organizations located in different parts of the State rather than concentrate funds on only a few projects.

Services

Joint projects of eligible recipients and community-based organizations provide special vocational education services and activities, such as outreach programs, transitional services, pre-vocational educational preparation and basic skills development, and career intern programs.

Program Administration

States generally renew projects that appear to be working successfully, but renewal of the grant is not automatic. States monitor the implementation of CBO projects through on-site visits and performance reports, but most States do not conduct formal evaluations.

III. SOURCES OF INFORMATION

1. Program files.
2. Descriptive Review of Data on the Vocational Education Community-Based Organizations Program (Washington, DC: Pelavin Associates, March 1990).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ron Castaldi, (202) 205-8981

Program Studies : Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION--CONSUMER AND HOMEMAKING EDUCATION (CFDA No. 84.049)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990 (P.L. 101-392), Title III, Part B (20 U.S.C. 2361-2363)(expires September 30, 1995). All programs under the Perkins Act addressed in this report operated in the first year the amendments became effective.

Purpose: To assist the 50 States and the outlying areas in conducting consumer and homemaking education programs that prepare male and female, youths and adults for the occupation of homemaking. Funds can be used to provide instruction in food and nutrition, consumer education, family living and parenthood education, child development and guidance, housing, home management (including resource management), and clothing and textiles.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$15,000,000	1987	$31,273,000
1975	35,994,000	1988	32,791,000
1980	43,497,000	1989	33,118,000
1981	30,347,000	1990	34,118,000
1982	29,133,000	1991	33,351,000
1983	31,633,000	1992	34,720,000
1984	31,633,000	1993	34,720,000
1985	31,633,000	1994	34,720,000
1986	30,273,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Consumer and homemaking education programs, services, and activities are intended to be accessible to males and females, youth and adults at all educational levels. At least one-third of Federal funds were required to be used for programs, services, and activities in economically depressed areas or areas with high rates of unemployment to improve quality of family life. Grants were made, through a statutory formula, to the 50 States, Puerto Rico, the District of Columbia, and the Virgin Islands in FYs 1993 and 1994.

Services

Programs, services, and activities provided by the Federal Consumer and Homemaking Education Program include (1) program development and improvement of instruction and curricula; and (2) support services and activities designed to ensure quality and effectiveness of programs including application of academic skills in consumer and homemaking programs, professional development, and State administration, supervision, and leadership.

Program Administration

Full-time State Consumer and Homemaking Education Administrators, under State Boards of Education, are responsible for administering the program and assisting eligible recipients to plan and conduct instructional programs in all consumer and homemaking education areas. All States and territories currently offer consumer and homemaking education programs.

States and Territories are updating, expanding, and revising curricula to reflect the needs of youth and adults. According to State and local records, 4.3 million students are served by 34,100 consumer and homemaking education programs across the country; 42 percent of these students are males. Fifty-nine percent of the consumer and homemaking students are enrolled in parenthood education, family living, nutrition education, child development, and management of resources.

States have implemented new and/or revised programs and curriculum in areas such as Consumer and Homemaking Education, Interrelatedness of Balancing Work and the Family, Management of Resources and Life Management Skills, Child Growth and Development, Parenting/Family Life Education, and Consumer Education. An integral part of all instructional programs is the application of academic skills.

Management Improvement Strategies

- States and universities are conducting research aimed at program improvement in cooperation with business and industry and professional organizations of consumer and homemaking education.

- States are providing professional development and leadership conferences for teachers to improve the quality of instructional programs, including the application of academic education and development of performance standards/core measures and the effectiveness of evaluation of programs and services.

- National leadership workshop conferences, conducted by the Office of Vocational and Adult Education, enhance State and local education agencies' efforts to carry out the legislative requirements of the Carl D. Perkins Vocational and Applied Technology Education Act and to develop strategies for meeting the challenges cited in recent national studies on education reform.

III. SOURCES OF INFORMATION

1. Enrollment Source: Vocational Home Economics Education Coalition (Washington, DC: U.S. Department of Education, Division of Vocational Home Economic Education, Office of Vocational and Adult Education, 1991).

2. Research and Curriculum Projects by State Departments of Education, 1990-91 (Washington, DC: U.S. Department of Education, Division of Vocational Home Economics Education, American Vocational Association, and Office of Vocational and Adult Education, 1992).

3. State Annual Performance Reports for Vocational Education (Washington, DC: U.S. Department of Education, Division of Vocational Education, Office of Vocational and Adult Education, December 1992).

4. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Bertha G. King, (202) 205-5421
Program Studies	:	Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION--TECH-PREP EDUCATION
(CFDA No. 84.243)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990, P.L. 101-392, Title III, Part E (20 U.S.C. 2394) (expires September 30, 1995). All programs under the Perkins Act addressed in this chapter of the AER operated in the first year the amendments became effective.

Purpose: To provide planning and demonstration grants to consortia of local education agencies and postsecondary educational institutions, for the development and operation of four-year programs designed to provide a tech-prep education program that leads to a two-year associate degree or a two-year certificate; and to provide, in a systematic manner, strong, comprehensive links between secondary schools and postsecondary educational institutions.

Funding History:

Fiscal Year	Appropriation
1991	$ 63,000,000
1992	90,000,000
1993	104,123,000
1994	104,123,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Tech-prep is a relatively new initiative, as a result, few States have actually developed evaluation procedures. In FY 1993, only 19 States reported having established at least one set of identified outcome measures. The performance indicators include: program completion rate, academic achievement rate, program retention, technical skills attainment, job placement rate, and employer satisfaction.

Population Targeting

The program, through a cooperative effort between consortia of local education agencies and postsecondary educational institutions, links the last two years of high school vocational programs with two years of community, junior, and technical college programs or an apprenticeship program. It does this by developing and implementing a "2+2" model that combines a common core of learning with technical education. Tech-prep education programs require basic proficiency development in mathematics, science, communication, and technology that leads to a 2-year associate degree or a 2-year certificate in a specific career field.

Approximately 173,000 students participate in Tech-Prep across grade levels: 43,648 in 9th grade, 38,128 in 10th grade, 54,077 in 11th grade and 37,029 in 12th grade. However, since tech-prep education programs are incredibly diffuse, it is highly likely that many more students who are not labeled tech-prep students are enrolled in applied academics or in an articulated program.

Services

Activities that may be provided under the Tech-Prep Education program include developing a tech-prep curriculum appropriate to the needs of students participating in the program; providing in-service training for teachers; providing training for counselors on how to recruit students and provide counseling that ensures successful completion of tech-prep education programs; employment placement; and preparatory services to assist participants in such programs.

Program Administration

States administer the tech-prep program through their State Boards of Vocational Education and make subgrants to eligible consortia of secondary and postsecondary educational institutions, on either a discretionary or formula basis. The State is responsible for providing federally required plans and reports, reviewing, and processing applications for local projects, and providing technical assistance.

III. SOURCES OF INFORMATION

1. Literature Review for the Evaluation of the Tech-Prep Education Program, (Washington, DC: U.S. Department of Education, 1993).

2. Implementing Tech-Prep: A Guide to Planning a Quality Initiative (Berkeley, CA: National Center for Research in Vocational Education, University of California, 1992).

3. National Assessment of Vocational Education (Washington, DC: U.S. Department of Education, 1994).

4. Program files.

IV. PLANNED STUDIES

The Department's 5-year national evaluation of the Tech-Prep Education program began in the fall of 1992. The primary purposes of the evaluation are to (1) describe Tech-Prep programs at the State and local levels, and (2) identify best practices and effective approaches of local Tech-Prep projects for improving occupational education. Data collection began in the fall of 1993 for all three major components of the evaluation: survey of State Tech-Prep Coordinators, survey of local Tech-Prep Coordinators and in-depth studies of selected sites. The evaluation will be completed in 1997.

To gain a better understanding of Tech-Prep planning processes and potential barriers to successful implementation, the National Center for Research in Vocational Education conducted a national survey of local Tech-Prep Consortium Directors/Coordinators, in the summer of 1993. The survey report is available from NCRVE.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Nancy Smith Brooks, (202) 205-8269

Program Studies : Sandra H. Furey, (202) 401-3630

VOCATIONAL EDUCATION--TRIBALLY CONTROLLED POSTSECONDARY VOCATIONAL INSTITUTIONS
(CFDA No. 84.245)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990, Title III, Part H, (P.L. 101-392), (20 U.S.C. 2397) (expires September 30, 1995).

Purpose: To provide grants for the operation and improvement of tribally controlled postsecondary vocational institutions to ensure continued and expanded educational opportunities for Native American students, and to allow for the improvement and expansion of the physical resources of such institutions.

Funding History

Fiscal Year	Appropriation
1991	$2,440,000
1992	2,500,000
1993	2,946,240
1994	2,946,240

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Each tribally-controlled postsecondary institution trains 100 or more students each year.

Population Targeting

This program targets funds on tribally controlled postsecondary vocational institutions that: (1) are governed by a board of directors or trustees, a majority of whom are Indians; (2) demonstrate adherence to stated goals, a philosophy or a plan of operation which fosters individual Indian economic self-sufficiency and opportunity; (3) have been in operation for at least 3 years; (4) are accredited by a nationally recognized accrediting authority for postsecondary vocational education; and (5) enroll the full-time equivalency of not less than 100 students, of whom the majority are Indians. The two institutions supported in FY 1991 (the first year of funding) were Crownpoint Institute of Technology (Crownpoint, New Mexico) and United Tribes Technical College (Bismarck, North Dakota). The authorizing statute requires the Secretary to give priority for funding in future years to the grantees who previously were funded.

Services

Program grants provided to program institutions support the operation and improvement of tribally controlled postsecondary vocational institutions to ensure continued and expanded educational opportunities for Native American students, and to allow for the improvement and expansion of the physical resources of such institutions. Among the services provided through program funds are the maintenance and operation of the program, including development costs, costs of basic and special instruction, materials, student costs, administrative expenses, boarding costs, transportation, student services, day care, and family support for students and their families (including contributions to the costs of education for dependents); capital expenditures, including operations and maintenance and minor improvements and repair, physical plan maintenance costs; and costs associated with repair, upkeep, replacement, and upgrading of the instructional equipment.

Program Administration

By statute, only tribally controlled postsecondary vocational institutions are eligible for assistance under the Tribally Controlled Postsecondary Vocational Institutions program.

Outcomes

The program reports that the overall impact of the program has been one of generally improved operations of both tribally controlled postsecondary vocational institutions, ranging from record-keeping and information flow through, curriculum development, to maintaining and improving the physical and training facilities of the campus.

Management Improvement Strategies

Management conducts project director meetings periodically to allow them to share program strategies and information. The Department of Education also provides training materials and technical assistance to the grantees in an effort to develop high quality vocational education programs.

III. SOURCES OF INFORMATION

1. Program files.

2. Brush, Lorelei, Traylor, Kerry, and O'Leary, Michael, Assessment of Training and Housing Needs Within Tribally Controlled Postsecondary Vocational Institutions, (Washington, DC: Pelavin Associates, February 1993).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Roberta Lewis, (202) 205-9270

Program Studies : Manny Smith, (202) 401-1958

VOCATIONAL EDUCATION NATIONAL PROGRAM--RESEARCH
(CFDA No. 84.051)

I. PROGRAM PROFILE

Legislation: Carl D. Perkins Vocational and Applied Tecnology Education Act Amendents of 1990 (P.L. 101-392), Title IV, Part A, Sections 401, 402, 404) (expires September 30, 1995).

Purposes: (1) To conduct and disseminate research that would improve the quality and access of vocational education for all students, including members of special populations, and will assist in the preparation of individuals for employment in a dynamic economy; (2) to provide an information-sharing network for the identification, location, adaption, dissemination and use of curriculum and instructional materials.

Funding History

Fiscal Year	Appropriation
1984	$ 5,935,000
1985	6,535,000
1986	7,369,000
1987	7,050,000
1988	7,276,000
1989	6,965,000
1990	6,986,000
1991	6,831,000
1992	12,000,000
1993	9,661,615
1994	9,661,615

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

The National Center for Research in Vocational Education (NCRVE) distributed over 40,000 products nationwide and produced four national satellite teleconferences that were broadcast live to over 1200 downlinks sites throughout the United States, Bermuda, Canada, the Virgin Islands, Puerto Rico, and Taiwan. The National Center provided technical assistance to the 50 contiguous States in developing their performance measures and standards as mandated by the Perkins legislation, and over 30 large urban school districts were given technical assisance in developing and implementing Tech Prep and integration programs.

The National Network for Curriculum Coordination in Vocational and Technical Education (NNCCVTE) disseminated over 65,000 documents, provided over 10,000 searches to locate curriculum materials, and responded to over 13,000 requests for inservice and technical assistance workshops.

Services

The National Center for Research in Vocational Education is a competitively awarded, nonprofit, university-affiliated entity designated by the Secretary of Education for a five-year period on the advice of a panel of nationally recognized experts in vocational education. NCRVE is charged with conducting applied research and development to improve vocational education. Activities include conducting projects that improve the quality of vocational education by integrating academic and vocational education skills and by developing methodologies for emerging technologies; providing training for vocational education leaders; conducting policy-oriented studies to facilitate national planning; providing technical assistance to help States evaluate and plan their programs; managing a dissemination program; and making an annual report on education to work transition.

Six regional Curriculum Coordination Centers (CCCs) are competitively awarded on a rotational basis wherein two new centers are awarded each year. The contracts are for three years. The centers are charged with providing curriculum-related services to vocational education personnel nationwide. These services included technical assistance, inservice training, curriculum searching, cirriculum adaptions, workshop planning, professional development, curriculum information sharing and dissemination.

Discretionary Research Activities

Under special authorization from the Perkins legislation, the National Center for Research in Vocational Education was awarded a grant (1) to provide technical assistance to the States in developing their performance measures and standards; (2) to provide technical assistance to large inner city schools for academic and vocational integration and tech prep programs; (3) to produce four professional development satellite teleconferences; and (4) to assist in the implementation of Perkins II through benchmarking best-in-practices and processes with respect to measures and standards, integrated instruction, and tech prep.

Outcomes

The National Center for Research in Vocational Education has completed research studies addressing the following:

- Students in vocational education, including special populations, that include characteristics and enrollment patterns, trends in the student composition of different vocational institutions, and the effectiveness of programs for students;

- The economic context of vocational education including skill trends in the economy, the nature of sub-baccalaureate labor markets, and skills and skill levels required in the workplace;

- Curriculum and pedagogy including the integration of academic and vocational education, tech prep programs, school-to-work transition programs, workplace literacy, and guidance and counseling to help students develop their occupation identities and understand the relationship between school and work;

- Accountability and assessment including evaluation, performance measures and standards, and new forms of assessment in order to determine whether the system of vocational education has been responsive to the changing conditions of work;

- The Curriculum Coordination Centers facilitated the dissemination and effective use of curriculum and instructional materials through the following activities;

- Networking that helped States avoid unwarranted duplication of curriculum materials and helped them identify and obtain relevant curriculum materials;

- Conducting curriculum searches to locate relavant curriculum materials for vocational, technical, and adult education clients;

- Conducting or facilitating inservice and technical assistance workshops to clients throughout the nation; and

- Developing linkages with vocational education personnel, professional organizations and others to enhance the effectiveness of vocational education services nationwide.

III. SOURCES OF INFORMATION

1. Separating the Wheat from the Chaff: The Role of Vocational Education in Economic Development

2. The Cunning Hand, The Cultured Mind: Models for Integrating Vocational and Academic Vocational and Academic Education

3. Performance Measures and Standards for Vocational Education: 50-State Results

4. Implementing Tech Prep: A Guide to Planning a Quality Initiative

5. Curriculum Coordination Centerfs Impact Report for 1992

6. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : National Center for Research in Vocational Education:
Jackie Friederich, (202) 205-9071

Curriculum Coordination Centers:
Bernice Anderson, (202) 205-9972

Program Studies : Audrey Pendleton, (202) 401-3630

VOCATIONAL EDUCATION NATIONAL PROGRAMS--DEMONSTRATIONS
(CFDA Nos. 84.199D, 84.199E, 94.100, 94.244, 94.248)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1990, P.L. 101-392, Title IV, Sec. 418, 420A(20 U.S.C. 2420a)(expires September 30, 1995).

Purpose: To conduct model demonstration programs in vocational education, with priority given to demonstration grants that: (1) provide for the development of telecommunications materials for use in vocational education instruction, and (2) establish demonstration centers for training dislocated workers. Other authorized demonstration programs include: grants for professional development; programs that provide basic and vocational education to criminal offenders in Federal correctional facilities; grants for dropout prevention projects; grants for developing business and education standards for competencies in industries and trades; regional centers that provide training for skilled trades; and projects that integrate vocational and academic instruction.

Funding History

Fiscal Year	Appropriation
1984	$570,000
1985	143,000
1986	-0-
1987	450,000
1988	14,792,000
1989	14,594,000
1990	11,096,000
1991	12,970,000
1992	20,000,000
1993	16,705,000
1994	23,455,000

II. PROGRAM INFORMATION AND ANALYSIS

Services

Demonstration Projects for the Integration of Vocational and Academic Learning Programs. Nine grants were awarded in FY 1992 to demonstrate successfully designed, established, and operating tech-prep education programs. Under priorities established by the Department of

Education, these projects (1) disseminated information to improve the training of teachers, other instructional personnel, counselors, and administrators to carry out tech-prep education programs; (2) provided resources, materials, technical assistance, in-service training, and other forms of professional development to help others replicate successful tech-prep education programs; and (3) conducted independent evaluations of grant activities.

Education Programs for Correctional Institutions. Eleven grants were awarded in FY 1992 to demonstrate model vocational education programs for incarcerated individuals. These programs were authorized to expand or improve existing vocational education programs in correctional institutions, use curricula that include literacy and basic skills training, integrate academic content with vocational content, and provide for "live work." Programs also included transitional services, including the coordination of those services provided by community agencies.

The Business and Education Standards Program provides financial assistance for organizing and operating business-education-labor technical committees to develop national skill standards for competencies in industries and trade. In FY 1993, 16 grants were awarded to develop standards for (1) major divisions or specialty areas identified within occupations, (2) minimum hours of study to be competent in such division or specialty areas, (3) minimum tools and equipment required in such divisions or specialty areas, (4) minimum qualifications for instruction staff, and (5) minimum tasks to be included in any course of study to prepare individuals for work in such division or specialty areas.

School-to-Work Transition. Eight states (Wisconsin, Oregon, Maine, New York, Michigan, New Jersey, Massachusetts, and Kentucky) were awarded grants to implement school-to-work transition systems under the Cooperative Demonstration Program. The eight states received a total of $43 million in FY 1994 funds, with funding renewals expected for an additional four years under the recently enacted School to Work Opportunities Act. All other states were awarded grants under Department of Labor programs to develop plans for implementing school-to-work systems. The objective of the program is to help states develop coherent systems that facilitate the transition of young people from high school to advanced training and/or the workplace. State school-to-work systems will include a school-based learning component, a work-based learning component, and connecting activities between the two components.

Outcomes

Dropout Prevention and Reentry Demonstration Projects. The Planning and Evaluation Service conducted a study of dropout prevention projects funded in FY 1989 for a three-year period under the Discretionary Cooperative Demonstration Program. Grantees were authorized to replicate a dropout prevention model that had been found effective in other settings, adapt a locally developed model, or expand a project currently in operation in their district. Six of the ten grantees participated in the longitudinal evaluation over a three-year period. A random assignment design was implemented in nine project sites and a matched comparison group in the remaining three sites. The final report on evaluation findings is expected to be released by ED in 1994 (III.3).

As shown in the following table, one-third of the projects achieved a significant reduction in the number of participants who dropped out of school. Projects were generally more successful in improving participants' school performance and affiliation.

Outcomes of Demonstration Projects

Outcome	Number of Projects
Reduction in dropping out	4
Increase in grade point average	10
Reduction in number of courses failed	7
Increase in number of credits earned	5
Reduction in number of absences	5
Improvement in students' perception of teachers and instruction	4
Improvement in students' perception of counselors and counseling	2
Increase in students' perception that school is safe	7
Students' perception of receiving more academic encouragement	4
Students' perception of receiving better job preparation	3

Across the projects participating in the evaluation, the following components were more likely to be associated with improved persistence in high school and educational success of at-risk youth participating in the program relative to a control/comparison group:

- a smaller, more personal environment, such as that available in a school-within-a-school or alternative school environment;

- vocational education that includes integration of academic with the vocational content and an occupational concentration leading to a promising entry-level job or postsecondary training;

- a formal counseling component that incorporates attention to personal issues along with career counseling, employability development, and life skills instruction;

- formal, ongoing coordination of the academic and vocational components of students' high school programs;

- a structured environment that includes clear and equitably enforced behavioral expectations; and
- personal, supportive attention from adults through a mentoring or other project component.

III. SOURCES OF INFORMATION

1. Program files.
2. A Study of Business and Education Skill Standards, (Washington, DC: Institute of Educational Leadership, 1993).
3. Hayward, B., Tallmadge, K., et al , Evaluation of Dropout Prevention and Reentry Projects in Vocational Educational, (Los Altos, CA: RMC Research Inc. , forthcoming).

IV. PLANNED STUDIES

A major study is planned to analyze the products of both the Department of Labor's and Department of Education's 22 skill standards and development projects. The results of this study are intended for the proposed Skills Standards Board.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Correctional Education: Gail Schwartz, (202) 205-5621
	:	Business and Education Standards Program: Carolyn Lee, (202) 260-9576
	:	Integration of Vocational Education and Academic Learning (Tech Prep): Carolyn Lee, (202) 260-9576
Program Studies	:	Audrey Pendleton, (202) 401-3630

BILINGUAL VOCATIONAL TRAINING PROGRAMS--DISCRETIONARY GRANTS (CFDA Nos. 84.077, 84.099, 84.100)

I. PROGRAM PROFILE

Legislation: The Carl D. Perkins Vocational Education Act (P.L. 98-524), Title IV, Part E (20 U.S.C. 2441) (expires September 30, 1995).

Purposes:

- o Bilingual Vocational Training (BVT) program: To provide bilingual vocational education and training and English-language instruction to persons with limited English proficiency (LEP) and to prepare these persons for jobs in recognized (including new and emerging) occupations.
- o Bilingual Vocational Instructor Training (BVIT) program: To provide preservice and inservice training for instructors, aides, counselors, and other ancillary personnel participating, or preparing to participate, in bilingual vocational training programs for LEP persons.
- o Bilingual Vocational Materials, Methods, and Techniques (BVMMT) program: To develop instructional and curriculum materials, methods, or techniques for bilingual vocational training for LEP persons.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1975	$2,800,000	1987	$3,686,000
1980	4,800,000	1988	3,734,000
1981	3,960,000	1989	3,771,000
1982	3,686,000	1990	2,959,000
1983	3,686,000	1991	2,887,000
1984	3,686,000	1992	3,000,000
1985	3,686,000	1993	2,946,240
1986	3,527,000	1994	2,946,240

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Program files show that job placement rates for program participants range between 80 and 100 percent.

Population Targeting

Twelve Bilingual Vocational Instructor Training (BVIT) grants were awarded in FY 1993. Bilingual Vocational Materials, Methods, and Techniques (BVMMT) funds were spent on a vocational student assessment contract. Another contract was awarded with BVMMT funds in the Small Business Innovation Research (SBIR) program for phase II of "The Development of the Adult Rating of Oral English for LEP Adults."

Services

Studies conducted as part of the National Assessment of Vocational Education (NAVE) mandated in 1984, showed that vocational training for LEP adults varies considerably depending upon training objectives, vocational skill areas, and needs of the populations served. Services may generally be divided into three areas: a language component, a vocational component, and a support services component. The more comprehensive training programs offer services from all three components.

Based on six case studies of State and local policies and services, NAVE found that while vocational training services for adults and out-of-school youth are readily available in most areas, proficiency in oral english is generally required prior to enrollment along with basic reading, writing, and math skills (III.2). These entry criteria essentially exclude LEP adults. Those LEP adults who do apply are generally referred to English-as-a-Second-Language (ESL) programs and are asked to re-apply when they can meet the vocational program's entry criteria. Vocational training specifically directed at LEP adults, which combines training in occupational and language skills, is less frequently available. Generally, it is administered by an agency or organization that has a special interest in serving that population, such as a refugee program or community-based organization with ties to a specific ethnic group.

Management Improvement Strategies

Grantees are asked to submit their curriculum packages to a retrieval system so that other grantees can consult them. Grantees are also encouraged to share their findings through the development of resource handbooks and the accurate reporting of program results and accomplishments. Project directors meet periodically to share program strategies and information.

III. SOURCES OF INFORMATION

1. Program files.
2. Fleishman, Howard L. and Willette, Joanne. An Analysis of Vocational Training Needs and Services for Limited English Proficient Adults (Arlington, VA: Development Associates, Inc., November 1988).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Cindy Towsner, (202) 205-5864
Program Studies	:	Audrey Pendleton, (202) 401-3630

ADULT EDUCATION--GRANTS TO STATES
(CFDA No. 84.002)

I. PROGRAM PROFILE

Legislation: Adult Education Act, P.L. 89-750, as amended, (20 U.S.C. 1201 et seq.) (expires September 30, 1995).

Purpose: To improve educational opportunities for adults and to expand and improve the delivery system for adult education services that enable educationally disadvantaged adults to acquire the basic literacy skills necessary for literate functioning, to profit from employment-related training, obtain or retain productive employment, and complete secondary school.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$26,280,000	1986	$ 97,579,000
1970	40,000,000	1987	105,981,000
1975	67,500,000	1988	115,367,000
1980	122,600,000 1/	1989	136,344,000
1981	100,000,000	1990	157,811,000
1982	86,400,000	1991	201,032,000
1983	95,000,000	1992	235,750,000
1984	100,000,000	1993	254,624,000
1985	101,963,000	1994	254,624,000

1/ Includes one-time funding of $5 million for services to Indochinese immigrants and refugees and $17.6 million for services to Cuban and Haitian entrants.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

To meet the accountability and evaluation requirements of the Adult Education Act, performance indicators have been developed for every phase and level of program operations. Key indicators stress recruitment of high-need members of the target population, retention of students to ensure opportunity to benefit, measurement of learning gains, and collection of information on student outcomes, including changes in employment status and further participation in educational programs.

Population Targeting

The Adult Education State-Administered Basic Grant program continues to target its services on adults with less than a high school education. Census data (1990) indicate that 46 million persons comprise this target population, of whom 4.5 million failed to go past the fifth grade. The program, through a cooperative effort between the States and the Federal Government, offers persons 16 years of age or older or who are beyond the age of compulsory school attendance under State law, the opportunity to attain reading, writing, and computational skills through the secondary school level of competence. Opportunities are also provided for adults to overcome English-language deficiencies.

States must give preference to local service providers who have demonstrated or can demonstrate a capability to recruit and serve educationally disadvantaged adults. This group of adults is defined generally as those who demonstrate basic skills equivalent to or below the fifth-grade level.

The Adult Education Act directs special attention to programs for incarcerated and other institutionalized adults, by requiring that each State use at least 10 percent of its Federal grant for this population.

Services

In the 1992-1993 program year, States reported serving more than 3.8 million adults. Seventy-four percent of these participants were in Level 1 (below grade 8 and English-as-a Second-Language programs). Nearly 62 percent of the FY 1991 expenditures were directed at this level. Instruction was provided by approximately 18,100 full-time and 81,100 part-time teachers. Almost 99,500 literacy volunteers participated, two-thirds of whom served as tutors. The remaining volunteers served in various supportive roles, providing outreach, transportation, child care, and clerical services.

Preliminary estimates from the National Evaluation of Adult Education Programs suggest that State reports of adults served over a 12-month period may involve substantial double-counting, due to the lack of client records systems at the local level and reliance on classroom attendance reports. Also contributing may be the inclusion in State reports of individuals who enrolled but failed to attain the federally prescribed threshold of 12 hours of instruction. (III.5).

New information on the provision of support services was included in the National Evaluation's First Interim Report (III.4.). Generally, local programs feel they are doing a good job of meeting client needs with respect to counseling, and to a lesser extent in providing job-search assistance. In contrast, most programs report that they are unable to provide help with finances, health needs, and child care.

Program Administration

Programs of adult education are administered by State education agencies and, in five States, by community college boards. Local projects, conducted by local education agencies and by public or private agencies, organizations, and institutions, are approved by States on the basis of need and resources available. The State agency is responsible for providing federally required plans and reports, reviewing and processing applications from local deliverers of adult education services, coordinating programs serving adults, providing technical assistance, and evaluating local programs.

With the FY 1991 allotment, States were required to contribute 20 percent for adult education programs. For the FY 1992 allotment and thereafter, the States' matching share is 25 percent. In FY 1991, States contributions for adult education amounted to over 80 percent of total program expenditures, or more than four times the Federal contribution. Most States report somewhat higher average costs for Level I participants. Average costs for adults who persist in the program long enough to make substantial learning gains are undoubtedly much higher.

Outcomes

Information from annual performance reports submitted by the States (III.3) indicates the following educational and economic outcomes:

- A total of 226,000 participants passed the General Educational Development (GED) test.
- Another 68,000 participants received adult high school diplomas.
- Close to 200,000 entered another education or training program.
- Over 10,500 participants received U.S. citizenship.
- Jobs were obtained by approximately 129,300 participants who had previously been unemployed.
- Nearly 101,200 participants obtained a better job or a salary increase after instruction.
- Over 29,000 participants were removed from public assistance rolls.

Additional information on outcomes is expected from the National Evaluation of Adult Education in 1994, based on analysis of test score data and on telephone followups of a national sample of former clients.

Management Improvement Strategies

Strategies for program improvement resulting from the National Literacy Act of 1991 include:

- A National Institute For Literacy. The Institute is administered under the terms of an interagency agreement among the Secretaries of Education, Labor, and Health and Human Services. The major activities of the Institute are research, technical assistance and training, dissemination of information with respect to promising practices, and assistance in the development of performance standards and measures and identification of ways to achieve uniformity of reporting requirements.

- State Literacy Resource Centers. State Literacy Resource Centers will improve and promote diffusion and adoption of exemplary teaching methods, technologies, and administrative practices.

- Technical Assistance Project for State Accountability and Assessment. Three-year technical assistance project for State-level administration and program staff to meet the administration and evaluation requirements of the Adult Education Act.

- ABE/ESL Teacher Training Project. Intensive workshops designed for professional adult trainers around 10 instructional packets on topics such as The Adult Learner, Teachers and Volunteers, in the Classroom, Monitoring Student Progress, Communicative ESL Teaching, Group and Team Learning, Whole Language Approach, Mathematics: Strategic Problem Solving, Planning for Instruction, Higher Order Thinking Skills, and Learning Disabilities.

- Evaluation of grantee performance. States must evaluate at least 20 percent of grant recipients each year of the State Plan period and evaluation must reflect State-adopted indicators of program quality.

III. SOURCES OF INFORMATION

1. Adult Education Act.

2. Program regulations (34 CFR, Parts 425 and 426).

3. Annual Performance, Financial, and Evaluation Reports submitted by States.

4. First Interim Report: Profiles of Service Providers, (Arlington, VA: Development Associates,March, 1992).

5. Secondary Interim Report: Profiles of Client Characteristics, (Arlington, VA: Development Associates, September, 1993).

IV. PLANNED STUDIES

1. Evaluation of effective programs for low-literate ESL students. This study will identify promising programs and evaluate them to assess their effectiveness in serving low-literate ESL students.

2. Analysis of Longitudinal Data on Adult Education Clients. This study will plan and carry out further analyses of data collected during the National Evaluation of Adult Education Programs (NEAEP) with a view to producing three reports--one on national policy implications, one on findings with implications for local program operations, and one which provides technical assessments of the NEAEP data.

3. Surveys of non-traditional providers-community-based organizations. Community-based organizations (CBOs) are reputed by the research literature to attract and serve adults with the lowest literacy levels and multiple needs (educational, social, and economic). The participants they serve are not counted in State reports on adult education participants unless the CBO receives State or Federal funds, and many of these organizations may choose not to participate in Government-sponsored programs. This study will provide information on clients served, methods of instruction, support services provided, and innovation practices, through a survey of existing CBOs.

4. Survey of instructional practice in adult education. A survey of instructional practice in local adult education programs will provide needed information on the national, regional, State, and urban/rural distributions of instructional practice, as well as detailed information supplementing findings from current national studies underway, such as the National Evaluation of Adult Education Programs.

5. Development of national adult education data system. The Department has already begun analysis of its data analysis needs in adult education, and has a project to develop and test both a national information network for State directors plus the capacity for transmission of data reports via modem or on diskette. The study will focus on methods of improving local and State data collections.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	: Ron Pugsley, (202) 205-9872
Program Studies	: Rob Barnes, (202) 401-3630

ADULT EDUCATION--NATIONAL PROGRAMS--EVALUATION AND TECHNICAL ASSISTANCE
(No CFDA No.)

I. PROGRAM PROFILE

Legislation: Adult Education Act, Part D, Section 383, P.L. 91-230, as amended (20 U.S.C. 1212a-c) (expires September 30, 1995).

Purpose: To conduct evaluation studies and provide assistance to States in evaluating the status and progress of adult education. Projects and studies funded provide information needed for national policy-making, development of legislative proposals for reauthorization, and State and local program improvement.

Funding History

Fiscal Year	Appropriation
1988	$1,915,000
1989	1,976,000
1990	1,973,000
1991	2,927,587
1992	4,000,000
1993	3,928,000
1994	3,928,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Indicators of performance have not been developed for the Adult Education National Programs. Appropriate indicators might include:

- timely completion of substantive evaluation studies that are used for policy making and development of reauthorization proposals as well as to provide guidance for program improvement;
- provision of technical assistance to States and local providers that is rated highly by recipients and judged appropriate by an independent panel or evaluator; and
- judgment by a national panel of experts that the overall program of studies and projects provided an appropriate mix of activities that responded appropriately to national, Federal, and State priorities.

Services

Adult Education National Programs funds evaluation studies and technical assistance/ dissemination projects covering a broad range of topics and concerns for adult education.

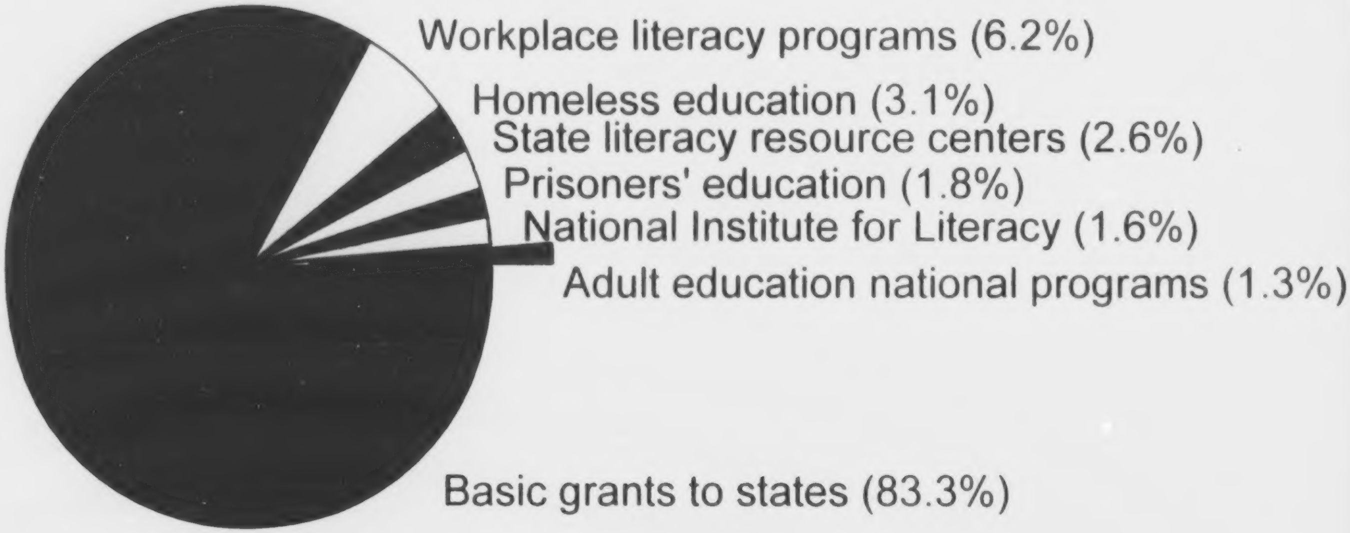
Collaborative implementation. Carrying out the projects and services of this program has involved collaboration between many offices and agencies and with the field. Three Department of Education offices have participated in these efforts -- the Office of Vocational and Adult Education (OVAE), the Office of the Under Secretary (including the Planning and Evaluation Service and the Budget Service) and the Office of Educational Research and Improvement (OERI). In addition, ED is working collaboratively with the Department of Labor and the Department of Health and Human Services on studies and projects, and cooperates with the National Institute for Literacy (NIFL) in planning and supporting research, development, and information dissemination projects. Most major evaluations and technical assistance projects involve advisory committees of experts in adult education, including researchers and State and local administrators.

Percent of total appropriation. In FY 1993, Adult Education National Programs' funding of $3,928,000 represented 1.3 percent of the total Adult Education Act appropriation of $304,718,000 as shown in Figure 1.

Figure 1

Adult Education Act Funds

Percent Allocated to Different Programs



FY 1993 data

Types of activities. The activities funded under Adult Education National Programs may be grouped into five categories:

1. outcome evaluations of Federal programs.
2. evaluations that identify effective practices and programs ("what works").
3. descriptive studies (case studies, descriptive surveys, secondary data analyses).
4. developmental projects to prepare issue briefs, policy analyses, guides, research agendas, and other support materials.
5. technical assistance and training to States and local providers to improve evaluation capability and for program improvement.

The distribution of funds among these categories is shown in Figure 2 for the FY 1993 appropriation:

No FY 1993 funds were used for identifying effective practices.

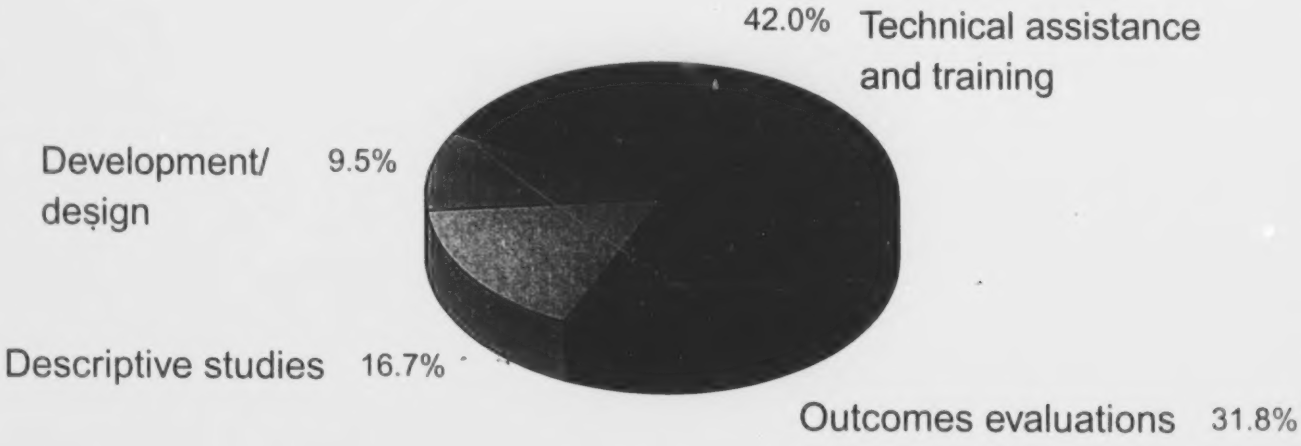
Current priorities. During 1993, the Department supported projects in the following topical areas as shown in Figure 3:

1. ***impact of Federal programs*** (including outcome and descriptive evaluations);
2. ***improving local practice*** (including "what works" studies and some descriptive and developmental work);
3. ***using technology to improve instruction and administration*** (development and technical assistance projects);
4. ***professional development for adult educators*** (technical assistance);
5. ***issues in welfare reform*** (impact evaluations and descriptive studies);
6. ***improving adult education performance and evaluation data*** (development and technical assistance); and
7. ***special projects*** (development and technical assistance).

Figure 2

FY 1993 Distribution of National Programs Funds

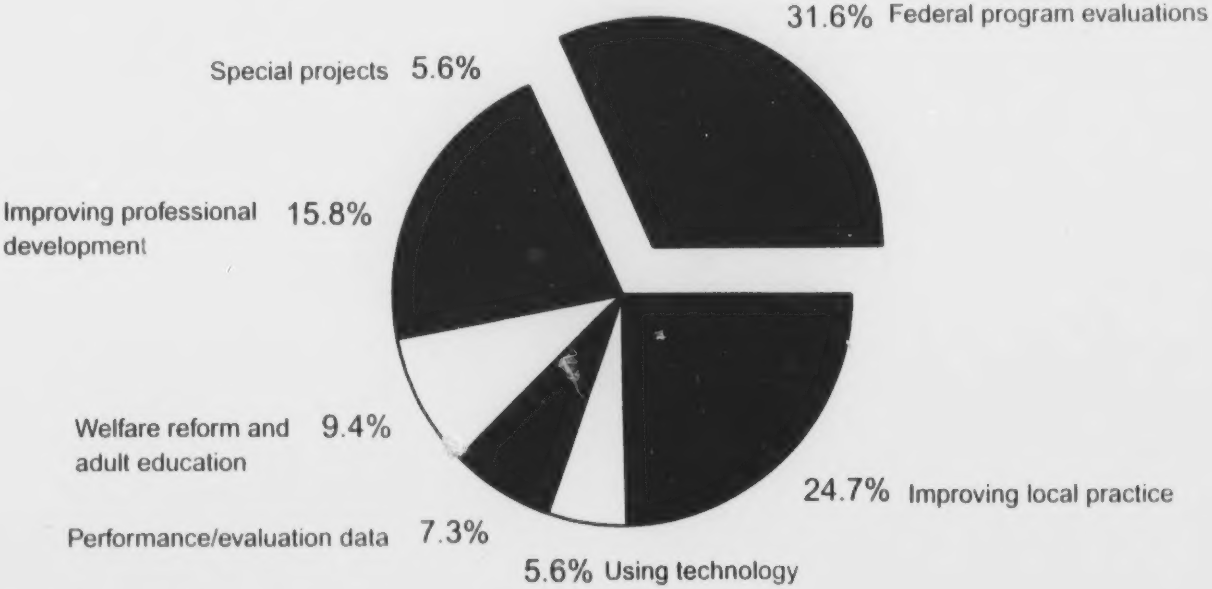
By Type of Project



Note: No FY 1993 funds were used for studies of effective practice.

Source: Program Data

Figure 3
FY 1993 Adult Education National Programs
By Priority Area



Source: Program Data

Status of Key FY 1993 Projects and Activities (III.2)

Evaluations:

- **Review of the Adult Education for the Homeless Program**. This study will provide a detailed description and analysis of the Adult Education for the Homeless Program, including examination of the range of literacy skills among Federal program participants, description of typical program services, and identification of barriers to program implementation, evaluation, and delivery of services. The final report will be available by late 1994.

- **National Evaluation of Adult Education Programs**. The National Evaluation of Adult Education Programs, a longitudinal survey of adult education participants and comprehensive survey of adult education programs, is providing a nationally representative description and assessment of adult education programs. The study started in August 1990 and was scheduled for completion in late 1994. Interim findings from this study are discussed in Chapter 401 of this *Biennial Evaluation Report*.

- **JOBS Evaluation, Adult Education Study**. The JOB Opportunities and Basic Skills Training program (JOBS) provides recipients of Aid to Families with Dependent Children with opportunities to take part in education, job training, and work activities intended to promote employment and self-sufficiency. The Department of Health and Human Services has funded a major study using experimental design to evaluate the effectiveness of different strategies for implementing JOBS in nine sites, as well as provide an assessment of the overall effects of the program. This study supplements the larger study to collect and analyze additional data on the effects of adult education participation in three sites. Random assignment and baseline data collection are now complete on the three-site sample of 3,000 JOBS treatment and control group participants. A special study is now underway to conduct four case studies of particularly effective JOBS sites and to perform secondary data analyses of JOBS data.

  Four reports will be produced from the JOBS adult education study.
    - An interim report is now available on the program's implementation and on characteristics of participants.
    - A special report will be available in late 1994 that will assess the impact of education and training programs on the literacy and labor market outcomes of welfare recipients.
    - An interim report in 1995 will analyze findings from surveys of the adult education teachers who instructed the welfare recipients and interviews with the adult education administrators for the programs involved.
    - The final report in 1997 will contain impact data on participants and further analyses of the adult education programs that serve them.

- **National Evaluation of the State Set-Aside for Teacher Training and Innovation in Adult Education**. This project is evaluating the State program (Section 353 of the Adult Education Act) that supports special innovative projects and teacher training in adult education. The study will provide a comprehensive picture of Federal and State systems that support the development, implementation, and dissemination of Section 353 activities, including how States implement the program, how funds are distributed between teacher training and innovation, how States set priorities and select projects for funding, how research and new technologies are incorporated into programs, and how linkages within and across States promote dissemination. The study will also assess the quality, significance, and replicability of a representative sample of innovation projects.

- **Review of State Adult Education Grant Allocations**. This study is using data from several sources to describe the distribution of Adult Education Act funds by States to local providers. The study is analyzing data on funding to clarify the patterns of distribution for Adult Education Act funds, the extent of concentration and targeting, and the extent to which funds are distributed to counties/school districts with the greatest numbers of educationally disadvantaged adults. The study will also describe State administration processes and policies for distributing Federal funds. The contractor has recently completed case study interviews with State directors and is collecting State allocation data. An interim report that profiles State systems will be issued in fall 1994; the final report will be available in 1996.

- **Descriptive Evaluation of the State Set-Aside Programs—Gateway Grants and State Literacy Resource Centers**. This project will describe and assess two State programs—the Gateway Grants set-aside, in which States must provide funds to local public housing programs for adult education, and the State Literacy Resource Centers program. Both programs were authorized for the first time in the National Literacy Act of 1991. Evaluation methodology will include telephone and written surveys. The final report is due in summer 1995.

- **Case Studies of Promising Family Literacy Programs**. In nine case studies, this project will identify Even Start projects that have promising or effective adult education components, documenting key elements and procedures for use by policy makers, adult education administrators, and Even Start project directors. The project will attempt to locate and describe projects that have successfully integrated adult education and parenting education as well as projects which have successful projects with those components separate. Source of data for selecting projects will be the Even Start Evaluation data base, which contains information on participants' outcomes, including literacy gains and GED attainment. The final report is due in late spring 1995.

Development, technical assistance, and training:

- **ABE/ESL Teacher Training Project**. This project examined the literature and reviewed practice for staff development of adult basic education and English-as-a-second-language teachers and volunteer instructors. Based on this review, the project developed and field-tested 10 instructional modules for training teachers and held a national workshop and four regional workshops to train trainers. Modules were developed in the following areas:
    - — the adult learner
    - — communicative ESL teaching
    - — monitoring student progress
    - — team learning
    - — learning disabilities: learner-centered approaches
    - — planning for instruction
    - — whole language approach
    - — working with volunteers
    - — mathematics: strategic problem-solving
    - — improving thinking skills for adults.

- **JOBS Technical Assistance Project**. The Department of Health and Human Service's Job Opportunities and Basic Skills Training Program (JOBS) requires coordination among education, training, and social service agencies in States and localities. Starting in 1989, the U.S. Departments of Education, Labor, and Health and Human Services supported a major technical assistance project to help States and localities design, implement, and operate their JOBS programs. The contractor conducted policy and planning symposia; produced materials and guides on model programs and successful practices; conducted regional workshops on special topics such as design and marketing; consulted with up to eight States a year on operational concerns; and held coordinated meetings for key State and local officials and community, business, and volunteer leaders. A final report was planned for late 1994.

- **National Conference—*Transitions: Building Partnerships Between Literacy Volunteers and Adult Education Programs*.** The contractor facilitated a conference on literacy volunteers for State teams of literacy volunteer program administrators, local practitioners, and State Directors of Adult Education. The conference focused on how providers of adult education can more effectively develop promising transition strategies in moving low-literacy-level adult learners to more advanced adult education classes. Participants received technical assistance and training on how to build partnerships between networks of volunteer organizations and service providers for adult education. is available from the Division of Adult Education and Literacy clearinghouse.

The final report is available from the Division of Adult Educationand Literacy clearinghouse

- **Comparison of Adult Education Tests.** A panel of national experts in testing and adult education reviewed widely used adult education tests and discussed issues of quality and usefulness to the field. The panel analyzed whether the tests can be equated, so that States may permit local programs to use several tests and still be able to develop aggregate summary data. The final report was planned for be late 1994.

- **Technical assistance project for State accountability and assessment.** This three-year project is designed to improve the capacity of State education agencies (SEAs) to meet the administrative and evaluation requirements of the Adult Education Act.

  The goals of the project include:
  - providing technical assistance to SEAs in program planning, evaluation, monitoring, and administrative provisions of the Adult Education Act;
  - building the administrative capacity of SEAs to plan and evaluate their programs more effectively; and
  - expanding the capacity of SEAs to meet the increased accountability and program effectiveness requirements of the Act, as amended by the National Literacy Act.

  Project activity is focused in four broad areas: (1) on-site technical assistance, (2) annual training institutes, (3) assistance to States and local providers in assessing and using administrative technology, and (4) information dissemination and materials development. In addition, the project will develop and disseminate an administrative handbook for use by State staff, and create and manage a program assessment and information center that will maintain information on standardized tests and other assessment measures.

- **Mexico Border Project**. This project provides technical support for special cooperative initiatives between the border States of Arizona, California, Nevada, New Mexico and Texas, and Mexico. The project involves development of a bilateral plan to expand collaborative efforts; pilot testing of an educational curriculum developed with Mexico; collaborative efforts in staff development; and sharing of information on effective adult education practices. The project will also support a conference in the spring of 1995 for the participating border States, Mexico, and the U.S. Department of Education to reinforce and expand the educational ties between the Mexican and U.S. adult education systems. Topics will include education-to-work transition, bilingual training, national service programs, family literacy, distance education, cross-border students tracking, student competencies/standards, students assessment, R&D, and uses of Mexico's National Institute for Adult Education Curriculum.

- **Adult Numeracy Education: Agenda for Action**. This project involves a partnership between the National Center on Adult Literacy (NCAL) at the University of Pennsylvania, the National Council of Teachers of Mathematics, and the Department of NCAL organized a working group to develop and submit an outline for an action plan of recommended steps for reform in adult numeracy education. The plan also summarizes key issues that will need to be addressed by policy makers and the adult education and mathematics education communities. The working group is basing its work on information generated during the conference, on examination of other pertinent materials, and on feedback from participants in a later workshop held in May 1994. A copy of the conference proceedings is available from NCAL.

- **Teacher Training Using Interactive Teleconferencing.** The National Center for Adult Literacy (NCAL) is designing and producing five professional development interactive teleconferences for adult education and literacy service providers. This project involves collaboration between the Office of Vocational and Adult Education, NCAL, the Public Broadcasting Service's Adult Learning Systems unit, and Station WHYY Public Television. This video series is addressing the need for high quality, accessible, innovative, cost-effective professional development while testing and demonstrating the feasibility and utility of distance education for teacher training.

  Content of the programs will focus on innovations in relation to the field of adult literacy, such as research innovations, instructional innovations, and innovations being developed in important capabilities of satellite technology. Each teleconference will include pre-produced video segments that demonstrate the application of innovations in the field. The first video teleconference, held on April 28, 1994 and viewed at more than 850 sites, focused on ***Technology: New Tools for Adult Literacy*.** Plans were underway for the next teleconference for December 1994 to discuss strategies in math education for adult learners. A final report is due in fall 1995.

- **Planning for Adult Education Software Development**. The National Center for Adult Literacy (NCAL) will convene a national conference of Federal and State policy makers, local adult education providers, software publishers, and R&D specialists in technology and adult education to explore new approaches to stimulated the development of quality adult education software. The two-day invitational conference was planned for late fall of 1994 for up to 60 invitees.

Table 1
Adult Education National Programs
Evaluation and Technical Assistance Activities

01/17/95

	FY 1992 Actual	FY 1993 Actual	FY 1994 Contins. *	Total	Lead Office	Status	Type
Evaluation of Federal Programs							
Design guidance for workplace literacy evaluations (RTI)	$75,000	--	--	$75,000	OUS	Completed	Development
Conference on States' implementation of NLA (Pelavin)	115,000	--	--	475,000	OUS	Completed	Development
Workplace literacy evaluation--year one (Mathematica) **	474,458	0	0	474,458	OUS	Underway	Impact
National Evaluation of Adult Education Programs (D.A.)	242,000	88,000	--	2,728,000	OUS	Underway	Impact
Evaluation of Section 353 State set-aside program (RMC)	217,730	321,464	--	539,194	OUS	Underway	Impact
Case studies of State adult education grant allocations (RTI	65,542	--		65,542	OUS	Underway	Descriptive
State setasides evaluation--Gateways and LRCs (RTI)	--	161,991	--	161,991	OUS	Underway	Descriptive
Reauthorization analyses and synthesis (RTI)	--	198,462		198,462	OUS	Underway	Descriptive
Longitudinal data analyses, National Evaluation data (Pelavi	--	387,261	--	392,000	OUS	Underway	Impact
Improving Local Practice							
Case studies of family literacy programs (RTI)	--	149,994	--	149,994	OUS	Underway	Descriptive
Adult numeracy education: agenda for action (NCAL)	--	25,097	--	25,097	OERI	Underway	Development
Technical assistance on NALS to States and LEAs (NAB)	--	495,775	--	495,775	OVAE	Underway	Technical assistance
NCLE (ERIC clearinghouse) (Center for Applied Linguistics)	--	299,998	150,000	449,998	OERI	Underway	Technical assistance
Using Technology to Improve Instruction and Administration							
Teacher training using interactive teleconferencing (NCAL)	--	118,513	81,786	200,299	OERI	Underway	Development
Planning for software development project (NCAL)	--	101,390	49,938	151,328	OERI	Underway	Development
Professional Development for Adult Educators							
ABE/ESL teacher training project (Pelavin)	308,203	--	--	1,221,733	OUS	Completed	Technical assistance
Volunteer training and management conference (NAB)	380,000	11,413	--	391,413	OVAE	Completed	Technical assistance
Professional development assistance project (Pelavin)	--	276,814	256,000	779,000	OVAE	Underway	Technical assistance
Issues in Welfare Reform							
JOBS technical assistance project (NAB)	100,000	--	--	100,000	HHS	Completed	Technical assistance
JOBS Evaluation (MDRC)	966,656	--	500,000	2,235,713	HHS	Underway	Impact
Welfare client analyses and review (MDRC)	--	368,000	--	368,000	HHS	Underway	Impact
Improving Performance and Evaluation Data							
State information network, pilot test (Pelavin)	64,107	--	--	64,107	OUS	Completed	Development
Comparison of adult education tests (Pelavin)	100,000	--	--	100,000	OUS	Underway	Development
Special national data analyses, Indians and ESL (Census)	--	54,067	--	54,067	OERI	Underway	Descriptive
State accountability and assessment project (Pelavin)	856,534	234,023	500,000	1,590,557	OVAE	Underway	Technical assistance
Special Projects							
Commissioned papers and reports	34,770	78,000	--	112,770	OVAE	Underway	Development
National conference on Indian adult education (Power)	--	114,999	--	114,999	OVAE	Underway	Development
Mexican-U.S. border states project (CAL, Inc.)		119,923	90,000	270,000	OVAE	Underway	Development
TOTAL	4,000,000	3,605,184	1,627,724				

Notes:

* This column includes only continuations for projects started in earlier years. Information is not available on planned procurements with the remaining funds.

** The workplace literacy valuation is being continued with Workplace Literacy Program funds.

Glossory for Acronyms and Abbreviations:

Federal Offices:

OUS -- Office of the Under Secretary, Planning and Evaluation Service (U.S. Department of Education)
OVAE -- Office of Vocational and Adult Education (U.S. Department of Education)
OERI -- Office of Educational Research and Improvement (U.S. Department of Education)
HHS -- U.S. Department of Health and Human Services
Census -- Census Bureau (U.S. Department of Commerce)

Contractors:

CAL, Inc. (Vacaville, CA)
D.A. -- Development Associates, Inc. (Arlington, VA)
Mathematica -- Mathematica Policy Research, Inc. (Princeton, NJ)
MDRC -- Manpower Demonstration Research Corporation, Inc. (New York, NY)
NAB -- National Alliance for Business, Inc. (Washington, DC)
Pelavin -- Pelavin Associates, Inc. (Washington, DC)
Power -- Power and Associates, Inc. (Tempe, AZ)
RMC -- RMC Research Corporation, Inc. (Portsmouth, NH)
RTI -- Research Triangle Associates, Inc. (Research Triangle Park, NC)
NCAL -- National Center for Adult Literacy (University of Pennsylvania, Philadelphia, PA)
NCLE -- National Clearinghouse on Literacy Education for Limited-English-Proficient Adults (Center for Applied Linguistics, Washington, DC)

Other:

NLA -- National Literacy Act of 1991
LRCs -- State Literacy Resource Center program
NALS -- National Adult Literacy Survey by the National Center for Education Statistics
JOBS -- Job Opportunities and Basic Skills Training Program
ABE\ESL -- Adult Basic Education/English-as-a-second-language programs

Table 2
Adult Education National Programs, Special Subtotals

	FY 1992		FY 1993		FY 1994 Continuations	
	Funding	Percent of Total	Funding	Percent of Total	Funding	Percent of Total
Projects by Theme/Priority						
Federal program evaluations	$1,189,730	29.7%	$1,157,178	32.1%	$0	0.0%
Improving local practice	0	0.0%	970,864	26.9%	150,000	9.2%
Using technology	0	0.0%	219,903	6.1%	131,724	8.1%
Professional development for adult educators	688,203	17.2%	288,227	8.0%	256,000	15.7%
Welfare reform and adult education	1,066,656	26.7%	368,000	10.2%	500,000	30.7%
Improving performance and evaluation data	1,020,641	25.5%	288,090	8.0%	500,000	30.7%
Special projects	34,770	0.9%	312,922	8.7%	90,000	5.5%
Total	$4,000,000		$3,605,184		$1,627,724	
Projects by Office						
OUS	$1,662,040	41.6%	$1,307,172	36.3%	$0	0.0%
OVAE	1,271,304	31.8%	1,330,947	36.9%	846,000	52.0%
OERI	0	0.0%	599,065	16.6%	281,724	17.3%
OUS/HHS	1,066,656	26.67%	368,000	10.2%	500,000	30.7%
Total	$4,000,000		$3,605,184		$1,627,724	
Projects by Type						
Program impact	$1,900,844	47.5%	$1,164,725	32.3%	$500,000	30.7%
Effective practices	0	0.0%	0	0.0%	0	0.0%
Descriptive studies	65,542	1.6%	564,514	15.7%	0	0.0%
Development and design	388,877	9.7%	557,922	15.5%	221,724	13.6%
Technical assistance and training	1,644,737	41.1%	1,318,023	36.6%	906,000	55.7%
Total	$4,000,000		$3,605,184		$1,627,724	

III. SOURCES OF INFORMATION

1. Program files

2. Putting Research Results to Work: A Guide to the Adult Education National Programs, 1988-1993. (Washington, DC: U.S. Department of Education, 1994)

3. Progress and final reports from various studies.

IV. PLANNED STUDIES

Information is not available on future studies, other than continuation awards indicated in Section II.

V. CONTACTS FOR FURTHER INFORMATION

Program operations : Ron Pugsley, (202) 732-2398

Program studies : Nancy Rhett, (202) 401-3630

ADULT EDUCATION FOR THE HOMELESS PROGRAM
(CFDA No. 84.192)

I. PROGRAM PROFILE

Legislation: Title VII-A of the Stewart B. McKinney Homeless Assistance Act, as amended (42 U.S.C. 11421) (expires September 30, 1999).

Purpose: To provide discretionary grants to State education agencies to enable them to implement, either directly or through contracts or subgrants, programs of basic skills remediation and literacy training for homeless adults.

Funding History

Fiscal Year	Appropriation
1987	$ 6,900,000
1988	7,180,000
1989	7,094,000
1990	7,397,000
1991	9,759,000
1992	9,759,000
1993	9,584,000
1994	9,584,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

In 1992, the Adult Education for the Homeless (AEH) program served 50,000 clients, a marked increase from the 18,000 homeless adults in the first year of program operation.

Three in five States seek additional State-level funding and one in five seek additional local-level funding. Approximately 44 percent of local AEH programs receive supplementary funds from non-AEH sources, averaging $30,000.

All States coordinate services with various other Federal programs, including the Adult Education Program, Homeless Children and Youth, JTPA, JOBS, Even Start, and Head Start.

Population Targeting

Services are provided to adult homeless individuals who are 16 years of age or over and not enrolled in school. The Department encourages applicants to target a subpopulation of homeless individuals sharing common characteristics, such as homeless mothers with children, homeless alcoholic men, or the chronically mentally ill homeless.

Services

In the past year, approximately 50,000 homeless adults were served. Adult education services are provided to help homeless adults increase their employability, earn a GED or some other type of adult diploma, or reach personal or economic objectives. In FY 1993, 28 grants were awarded.

Examples of funded services include basic literacy training, English-as-a-Second-Language training, family literacy, life-coping skills, and employability training (such as reading want ads, preparing resumes, and filling out application forms).

Programs are required to develop cooperative relationships with other service agencies to provide an integrated package of support services addressing the most pressing needs of homeless individuals at or through the project site. Examples of appropriate support services provided through coordination include: assistance with food and shelter, alcohol and drug abuse counseling, individual and group mental health counseling, child care, case management, job skills training, and job placement. Outreach services to recruit homeless persons to participate in the program must also be included in each project.

Program Administration

By statute, only State education agencies are eligible to apply for the program. States compete for funds, and those that are funded make awards to local education agencies, community colleges, and shelter providers to provide literacy training to homeless adults. An evaluation component is built into each project.

Outcomes

A study on participant outcomes (III.3) showed the following results:

> Typically, four in five program participants accomplish one or more personal goals, three in five improve basic skills competencies, one in five enters another educational program, and approximately one in 50 receives an adult secondary education diploma. Among clients enrolling in ESL programs, 54 percent moved up one or more ESL levels.

For program particpants in GED instructional programs, average scores increased significantly -- by about five points -- in each of the five GED subject areas.

Two in five participants obtained or improved their employment, and about one in 10 got off welfare. In addition, about one in 10 registered to vote for the first time.

Management Improvement Strategies

A number of States are producing materials on how best to provide literacy and basic skills services to the homeless. These manuals and curriculums developed specifically for use with homeless adults are shared among States.

Two workshops are conducted each year by the Department of Education's Division of Adult Education and Literacy for State coordinators of adult education for the homeless.

III. SOURCES OF INFORMATION

1. Program files.
2. Summary information prepared by Department staff on the first four years of program operations is available.
3. Review of the Adult Education for the Homeless Program (Washington, DC: U.S. Department of Education, 1994).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Jim Parker, (202) 205-5499 Melissa Morrill, (202) 205-9872 Cindy Towsner, (202) 205-5864
Program Studies	:	Sandra Furey, (202) 401-3630

ADULT EDUCATION--NATIONAL WORKPLACE LITERACY PROGRAM
(CFDA No. 84.198)

I. PROGRAM PROFILE

Legislation: Adult Education Act, Part C, Section 371, P.L. 91-230, as amended by the National Literacy Act of 1991, P.L. 102-73, (20 U.S.C. 1211) (expires September 30, 1995).

Purpose: To support effective partnerships between education organizations and business and community groups for adult education programs that provide literacy training to meet workplace needs.

The National Workplace Literacy Program (NWLP) funds competitive demonstration grants for programs involving partnerships between business, industry, labor organizations, or private industry councils and education organizations, including State education agencies, local education agencies, and schools, (including area vocational schools and institutions of higher education, employment and training agencies, or community-based organizations). Each partnership must involve at least one business, industry, or labor organization, or private industry council, and at least one education partner listed above.

Funding History

Fiscal Year	Appropriation
1988	$ 9,574,000
1989	11,856,000
1990	19,726,000
1991	19,251,000
1992	21,751,000
1993	18,906,000
1994	18,906,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Each NWLP project is held accountable for meeting Federal requirements as well as performance standards related to both project and learner outcomes established in each funded application. The subject of performance indicators for workplace literacy programs will be further investigated in the Department's national evaluation of the NWLP.

Population Targeting

This program serves adults who need to improve their literacy skills to improve job performance. The U.S. Bureau of the Census reported that in 1987, there were 87,700,000 adults, ages 25 to 64, who were employed. Of these, 12,297,000, or 14 percent, had not completed high school. In fact, 2,576,000 or 3 percent, had completed less than the 8th grade (III.1).

In addition, data from the 1992 National Adult Literacy Survey indicate that 90 million adults --about 47 percent of the U.S. adult populations--demonstrate low levels of literacy. While findings show that the vast majority of these Americans do not know they are at-risk, adults with lower literacy skills were far less likely to work full-time or earn high wages. These adults were far more likely to live in poverty and to be left behind in the rapidly changing American workplace.

Services

Projects must provide services that relate directly to the improvement of literacy skills needed in the workplace. These may include adult basic education; adult secondary education; English-as-a-Second-Language (ESL) training; education to upgrade basic literacy skills to meet changes in workplace requirements or processes; education to improve speaking, listening, reading, and problem solving; and support services for those receiving basic skill instruction including education counseling, transportation, and child care.

This program was funded for the first time in FY 1988. There is considerable interest in the program on the part of education organizations and business partners, and many more highly rated applications were received than could be funded. In September 1988, $9.5 million in competitive grant awards were made for 37 projects in 25 States and the District of Columbia. In April 1989, $11.9 million in competitive grant awards were made for 39 projects in 26 States and the District of Columbia. Awards for FY 1990 were made in March 1991 when $19.7 million in competitive grant awards were made to 73 projects. Awards for FY 1991 were made in June 1992 when $19.2 million in competitive awards were made to 55 projects in 30 States and the District of Columbia. In June 1993, 57 competitive grants awards, totaling $21.7 million, were made to 31 States and the District of Columbia.

Awards were made primarily to public organizations including community colleges, colleges, and universities; State and local education agencies; and community-based organizations. Each award involved one or more business or labor partners as well. Projects included training in such areas as:

-- basic skills for workers who deal with dangerous equipment so they can heed warnings and ensure worksite safety;

- -- math skills for accurate blueprint reading to prevent costly mistakes;
- -- literacy training for entry-level hospital food service workers so that critical diet and fasting requirements can be observed for patient health; and
- -- English-as-a-Second-Language training related to literacy requirements of workplaces such as hotels.

More than half the new projects funded offered release time for literacy training. Nearly two-thirds of the projects had an ESL component.

Program Administration

Each project is required to have a project director employed by the partner designated as the grantee for the partnership. Projects may also employ other administrative personnel that are necessary and reasonably required to carry out the project's scope of work effectively.

In the FY 1993 round of grants, 57 awards were made. Of those, six awards went to partnerships headed by States and 51 went to partnerships headed by local education organizations, businesses or unions. The estimated administrative costs for the six State projects totaled $200,000 for the 3-month start-up period allowed under regulations then governing the program. The balance focused primarily on training and totaled $18,100,000 for the 51 projects.

Outcomes

Final reports submitted by the projects indicated that workers participating in NWLP projects do make learning gains as measured by standardized tests. Further, final reports relay quantitative and qualitative data indicating that workers participating in NWLP projects experience work-related gains. For example, supervisors often report increases in participating employees' team work, understanding of company policies and procedures, safety, attendance, suitability for promotion and productivity. In addition, some projects had reported that work-related basic skills training supported by the NWLP has been associated with outcomes outside of work such as the increased ability of employees to manage their money, help children with school work, and continue their own education.

Management Improvement Strategies

The Department has recently issues new regulations implementing a 3-year grant cycle for the NWLP. This change is expected to allow projects more time for curriculum development and to demonstrate results such as basic skills improvements and work-related outcomes. In addition, Department personnel will have more time to focus on monitoring for accountability and on technical assistance activities for the field.

During the 3-year period, the Department will enhance project management by bringing project personnel to three annual national training sessions in Washington, D.C., to discuss workplace literacy and project management issues. Included in these meetings will be business, labor and education partners as well as each project's evaluator and a student representative.

III. SOURCES OF INFORMATION

1. Education Attainment in the United States: March 1987 and March 1986 (Washington, DC: U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 428, August 1988).
2. A Review of the National Workplace Literacy Program Survey (Washington, DC: U.S. Department of Education, 1991).
3. Adult Literacy in America: A First Look at the Results of the National Adult Literacy Survey (Washington, DC: U.S. Department of Education, 1993).
4. Program files.

IV. PLANNED STUDIES

The Department is currently conducting a study of "what works" in workplace literacy by taking a detailed look at workplace literacy projects funded in FY 1993 under the National Workplace Literacy Program. A final report will be available in 1997 .

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Sarah Newcomb, (202) 205-9872

Program Studies : Sandra Furey, (202) 401-3630

ADULT EDUCATION--STATE-ADMINISTERED ENGLISH LITERACY GRANTS
(CFDA No. 84.223)

I. PROGRAM PROFILE

Legislation: Adult Education Act, Title III-C, Section 372, as revised by P.L. 100-297, (20 U.S.C. 1211a) (expires September 30, 1995).

Purpose: The **State English Literacy Grants Program** provided funds for establishing, operating, and improving English literacy programs of instruction to help limited-English-proficient adults and out-of-school youths achieve full competence in the English language. Not less than 50 percent of the funds awarded under the grant were to be used to operate community-based organizations with demonstrated capability to administer English-proficiency programs.

The **English Literacy Demonstration Program** was designed to develop innovative approaches, methods, and technologies for the education of limited-English-proficient adults and out- of-school youths. Funds for this program could be provided through grants or contracts.

The **National ESL Clearinghouse on Literacy Education (NCLE)** was designed to collect and disseminate information concerning effective methods and approaches, including coordination with employment training and other education programs. **NCLE** operates under the Center for Applied Linguistics and the Department of Education's Office of Educational Research and Improvement.

Funding History

Fiscal Year	Appropriation
1989	$ 4,940,000
1990	5,888,000
1991	975,987
1992	1,000,000
1993	0
1994	0

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Presently there are no data available on number of persons served, services provided, or program outcomes.

State Grants

The FYs 1989 and 1990 Federal grants were made to designated State education agencies under a formula based on Census data on the number of individuals who do not speak English well. Local education agencies, community-based organizations with demonstrated capability to administer English-proficiency programs, and other public or private nonprofit agencies, organizations, and institutions were eligible for subgrants.

Demonstration Program

In FYs 1989 and 1990, a total of $570,980 ($246,180 in the first year and $324,800 in the second year) was awarded under a competitive procurement process to Aguirre International, Inc. to study innovative methods, approaches, and technologies for teaching English to limited-English-proficient adults and out-of-school youth (III. 2, 3, 4).

In FYs 1991 and 1992, $1,408, 987 ($698,987 in the first year and $710,000 in the second year) was awarded under a competitive grant process to three grantees: the Massachusetts Department of Education, Arlington Public Schools, and the El Paso Community College, to develop transitional ESL programs for limited-English-proficient adults.

III. SOURCES OF INFORMATION

1. State English Literacy Grants: Annual Performance and Financial Reports submitted by the States.

2. Adult ESL literacy Program and Practices (San Mateo, California: Aguirre International, Inc. , May 1992).

3. Bringing Literacy to Life: Issues and Options in Adult ESL Literacy (San Mateo, California: Aguirre International, Inc., May 1992).

4. Adult ESL Literacy: State of the ART 1990 (San Mateo, California: Aguirre International, Inc., May 1992.

5. Project Descriptions for Transitional ESL Projects.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Ron Pugsley, (202) 732-2273
Program Studies	:	Sandra Furey, (202) 401-3630

STATE LITERACY RESOURCE CENTERS
(CFDA No. 84.254)

I. PROGRAM PROFILE

Legislation: Adult Education Act, P.L. 100-297, as amended by the National Literacy Act of 1991, P.L. 102-73 (20 U.S.C. 1208aa).

Purpose: To establish a network of centers that will: stimulate the coordination of literacy services; enhance the capacity of State and local organizations to provide literacy services; and serve as a reciprocal link between the National Institute for Literacy and service providers for the purpose of sharing information, data, research and expertise, and literacy resources.

Funding History

Fiscal Year	Appropriation
1992	$5,000,000
1993	7,856,640
1994	7,857,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The State Literacy Resource Centers Program is one of four new programs authorized by the National Literacy Act of 1991. This program provides grants to States to improve the capacity of literacy and service providers to serve the population of adults with less than a high school education. The Adult Education Act targets this population in its Grants to States Program.

Services

During FY 1992, the first funding year for the program, all 50 States, the District of Columbia, and Puerto Rico received grants to support literacy resource centers. Of these, 41 States are establishing centers or expanding existing ones. Seven States comprise the latter group. In addition, three regional centers, comprising a total of 11 States, are supporting efforts to develop regional services and resources on a collaborative basis.

Literacy Resource Centers program services are geared to the needs of State and local organizations in helping them to improve their capacity to provide and coordinate literacy services within the State. Center activities include:

- improving teaching methods, technologies, and evaluations;
- assisting public and private agencies in coordinating their literacy services;
- encouraging partnerships with non-profit organizations and community-based organizations;
- encouraging innovation in the delivery of literacy services;
- providing technical assistance to State and local service providers;
- assessing learning style, screening for learning disabilities, and providing individualized instruction; and
- facilitating the training of full-time professional adult educators.

Program Administration

Grants for the support of State Literacy Resource Centers are made to the Governor of a State for a State resource center or to the Governors of a group of States for a regional literacy resource center. Governors, in turn, have designated other agencies or institutions to receive funds to support existing center operations. Sub-awards to support the establishment of new centers were contracted on a competitive basis with State or local agencies, organizations, or institutions.

Grant payments are based on criteria established under the Adult Education Act. The Federal share in each State's grant is: first 2 fiscal years, 80 percent; third and fourth fiscal years, 70 percent ; and fifth and succeeding years, 60 percent.

III. SOURCES OF INFORMATION

1. Adult Education Act as amended by the National Literacy Act of 1991.
2. Program Regulations (34 CFR Parts 460,461, 464, etc.) Adult Education and Literacy Programs.

IV. PLANNED STUDIES

The Department has started a descriptive evaluation of the State literacy resource centers to describe the program, assess the States' initial implementation of it, and identify promising models. The contractor for this study is RTI (Research Triangle Institute).

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	George Spicely, (202) 205-9720
Program Studies:	Daphne Hardcastle, (202) 401-1958

ADULT EDUCATION - FUNCTIONAL LITERACY AND LIFE SKILLS PROGRAM FOR STATE AND LOCAL PRISONERS
(CFDA No. 84.255A)

I. PROGRAM PROFILE

Legislation: National Literacy Act Amendments, Title VI, Part B, Section 601, P.L. 102-103, (20 U.S.C. 1211-2).

Purpose: To provide financial assistance for the development of demonstration or systemwide functional literacy programs for adult prisoners; to provide financial assistance for programs that reduce recidivism by imprpoving life skills necessary for reintegration into society.

Funding History

Fiscal Year	Appropriation
1993	$4,910,400
1994	$5,100,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The functional literacy program targets adult offenders who are not functionally literate. The life skills program targets offenders who need help with self-development, communication skills, job and financial skills development, education, interpersonal and family relationship development, and stress and anger management.

The U.S. Department of Education's National Adult Literacy Survey Report, Literacy Behind Prison Walls described a 70 percent illiteracy rate among a sample of prisoners as follows:

> About seven in ten prisoners...are apt to experience difficulty in performing tasks that require them to integrate or synthesize information from complex or lengthy texts or to perform quantitative tasks that involve two or more sequential operations and that require the individual to set up the problem (1993, p. vi).

Services

Functional literacy projects were funded for the first time in FY 1992. In December 1993, competitive grant awards were made for 11 projects in 8 States. Awards were made to both correctional and jail education facilities. The projects provide services that help offenders achieve functional literacy, or in the case of an individual with a disability, achieve a level of functional literacy commensurate with his or her ability, until the offender is granted parole, completes his or her sentence, or is released pursuant to court order.

Life skills projects were funded for the first time in FY 1993. In December 1993, competitive grant awards were made for 19 projects in 13 States. Awards were made to both correctional and jail education facilities. Life skills projects must provide services that help offenders prepare to return to their communities upon release from correctional facilities. These services may include a range of life skills training activities including self-development, communication skills, job and financial skills development, education, interpersonal and family relationship development, and stress and anger management.

III. SOURCES OF INFORMATION

1. Program files.
2. Literacy Behind Prison Walls, a National Adult Literacy Survey Report (Washington, D.C.: U.S. Department of Education, 1993).

IV. PLANNED STUDIES

Individual, third party evaluations are required for each project.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations :Christopher Koch, (202) 205-5621

Program Studies : Daphne Hardcastle, (202) 401-1958

OFFICE OF POSTSECONDARY EDUCATION

OVERVIEW

ENSURING ACCESS AND QUALITY IN POSTSECONDARY EDUCATION PROGRAMS

One of the highest priorities for the Department of Education, as identified in its Strategic Plan, is to:

Ensure access to high quality postsecondary education

This Overview section provides general information on how successful the Department has been to date in achieving this priority. This information will also be useful in establishing a baseline against which future progress can be measured and in identifying information gaps that need to be filled. The Overview consists of two parts: the one concerned with ensuring access, the other with ensuring quality.

ENSURING ACCESS

Figure 1, "Percentage of High School Students Enrolling in College Following Graduation," presents data on access to college for students of different income levels over time. Success at ensuring access can be assessed by looking at what has happened to the college participation rate of low-income students (defined for Figure 1 below as students from families in the bottom 20 percent of the income distribution) over time and by comparing the participation rate of low-and high-income students.

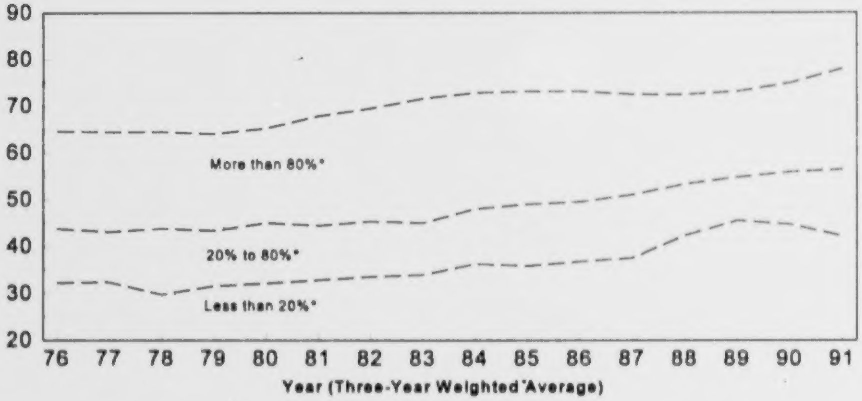
The data indicate that since 1976, college participation rates have increased at all income levels. Participation rates for low-income students increased between 1987 and 1991, reaching a high of 46 percent in 1989 before declining to 42 percent by 1991. This recent decline needs to be monitored to see if it continues. Given, however, the small sample sizes involved[1], yearly fluctuations are common and longer term trends are probably a more accurate reflection of underlying behavior.

Over the period, the difference in participation rates between low- and high-income students has diminished somewhat. In 1976, high-income students were twice as likely to attend college as low-income students compared to an 85 percent difference in 1991 (in 1989, this difference was 61 percent). However, low-income students are still far less likely to attend college than higher-income students, demonstrating that the education system has a long way to go before equity in terms of college participation is achieved.

---

[1] A three-year weighted average was used to smooth out the data. Emphasis upon a one- or two-year trend is typically regarded as unreliable.

Figure 1
Percent of High School Students Enrolling in College Following Graduation



*Percentile of Family Income
Source: Analysis of October Current Population Surveys (October CPS)

Of course, many other factors besides student aid will influence the equalization of college participation rates across income groups. Students from lower-income families are less well-prepared academically. Consequently, they would be less likely to attend college. If student aid were totally successful at removing financial barriers to participation, then one would expect that among similarly well-prepared high school students the percentage attending college would not vary across income groups.

Figure 2, "Percent of High School Sophomores Enrolling in Fall of 1982," tests this proposition. It looks at college attendance in the fall of 1982 among 1980 sophomores by socioeconomic status (SES) and test scores. Looking at the "All" column, one can see the relationship between SES and college attendance without consideration of test scores. Students from the highest SES quartile are three times as likely to attend college as those from the lowest SES quartile (76 percent versus 23 percent). Even within test score quartiles, however, there remains a strong relationship between SES and college attendance. Among students with the highest test scores, 56 percent of students in the lowest SES quartile attended college compared to 90 percent of students in the highest SES quartile. Similar differences are found for each test score quartile. These findings suggest that significant financial barriers to college participation remain in the educational system, particularly for lower-income students.

Participation rates alone do not provide data on how the Federal postsecondary education programs are contributing to ensuring access. The Pell Grant program is the primary Federal vehicle for providing access to postsecondary education for low-income students. One would anticipate, therefore, that the higher the portion of education costs met by the maximum Pell Grant award[2], the higher the percentage of low-income students enrolling in college.

Figure 3, "Buying Power of Pell Grant-Maximum Award," compares the college participation rate of low-income students with the percentage of costs for a four-year public university met by the Pell Grant maximum award. Clearly, the data do not demonstrate any relationship between the buying power of the Pell Grant and low-income access. Over the time period in question, the maximum Pell Grant award has bought less and yet college participation among low-income students has increased.

Figure 3 is a straightforward representation and does not take into account other factors--such as economic conditions, academic preparation, and the availability of other aid--that also influence college participation rates. The rapid increase in recent years in the relative earnings between college and high school graduates, for example, should have increased the demand for a college education. More sophisticated analyses (McPherson and Schapiro, Leslie and Brinkman) that control for the effect for other factors found that Pell Grants do have a significant impact on the participation rate of low-income students. These studies suggest that had the buying power of the Pell Grant not eroded, low-income enrollment rates would have increased more quickly than they actually did.

Another factor that will affect the performance of Federal programs is how they are targeted. Figure 4,"Percent of Postsecondary Students Receiving Any Federal Grants, by Dependency Status and Income: 1987 and 1990," presents data on students receiving Federal grants by income and dependency status in 1987 and 1990. The figure indicates that low-income students (defined for Figure 4 as students in the bottom 25 percent of the income distribution) are much more likely to receive Federal grants. For dependent students, the likelihood of a student from a low-income family receiving a Federal grant increased from 56 percent in 1987 to 66 percent in 1990. However, for independent students, there was a decline in the percentage of low-income students receiving a Federal grant (from 72 percent in 1987 to 63 percent in 1990) while the likelihood of receiving a Federal grant increased for middle- and higher-income students.

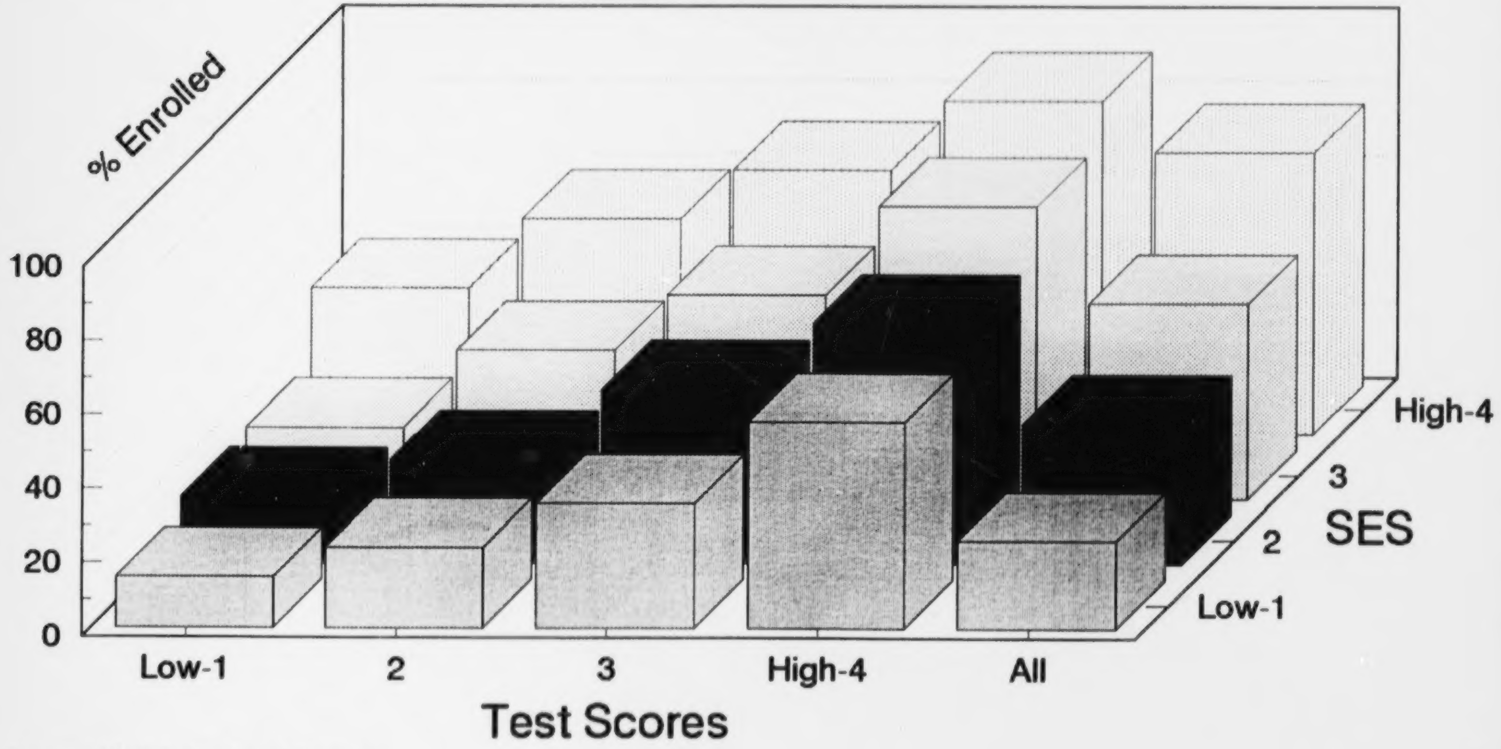
---

[2] In general, students in the bottom 20 percent of the income distribution would be eligible for a maximum Pell Grant award.

The above discussion has focused on the effects of Federal grants. However, in 1992-93, the Federal Family Education Loan Program was the largest single source of aid to postsecondary students, providing $15 billion worth of aid, 43 percent of all available aid (College Board). Unfortunately, less work has been done on the effects of loans on postsecondary access, choice, and persistence. Several studies that have been done (St. John, Masten, Carroll) using the High School and Beyond data base have yielded contradictory results. The Department has recently commissioned a study analyzing how changes in GSL eligibility over time have affected students' decisions about whether and where to enroll in postsecondary education.

Figure 2

Percent of 1980 HS Sophomores Enrolling in Postsecondary Education in Fall of 1982: By SES and Test Quartiles

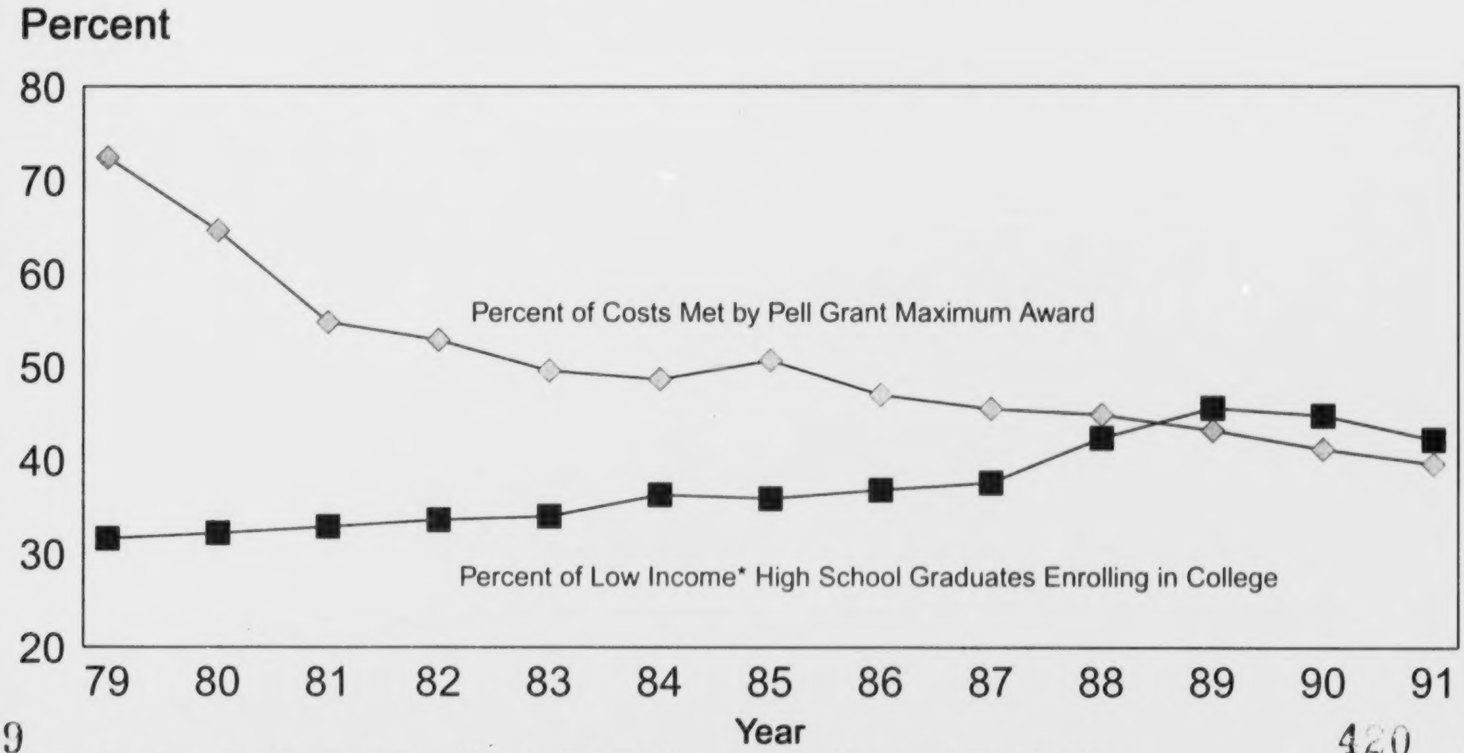


Source: High School and Beyond

Figure 3

Buying Power of Pell Grant-Maximum Award

At Four-Year Public Universities



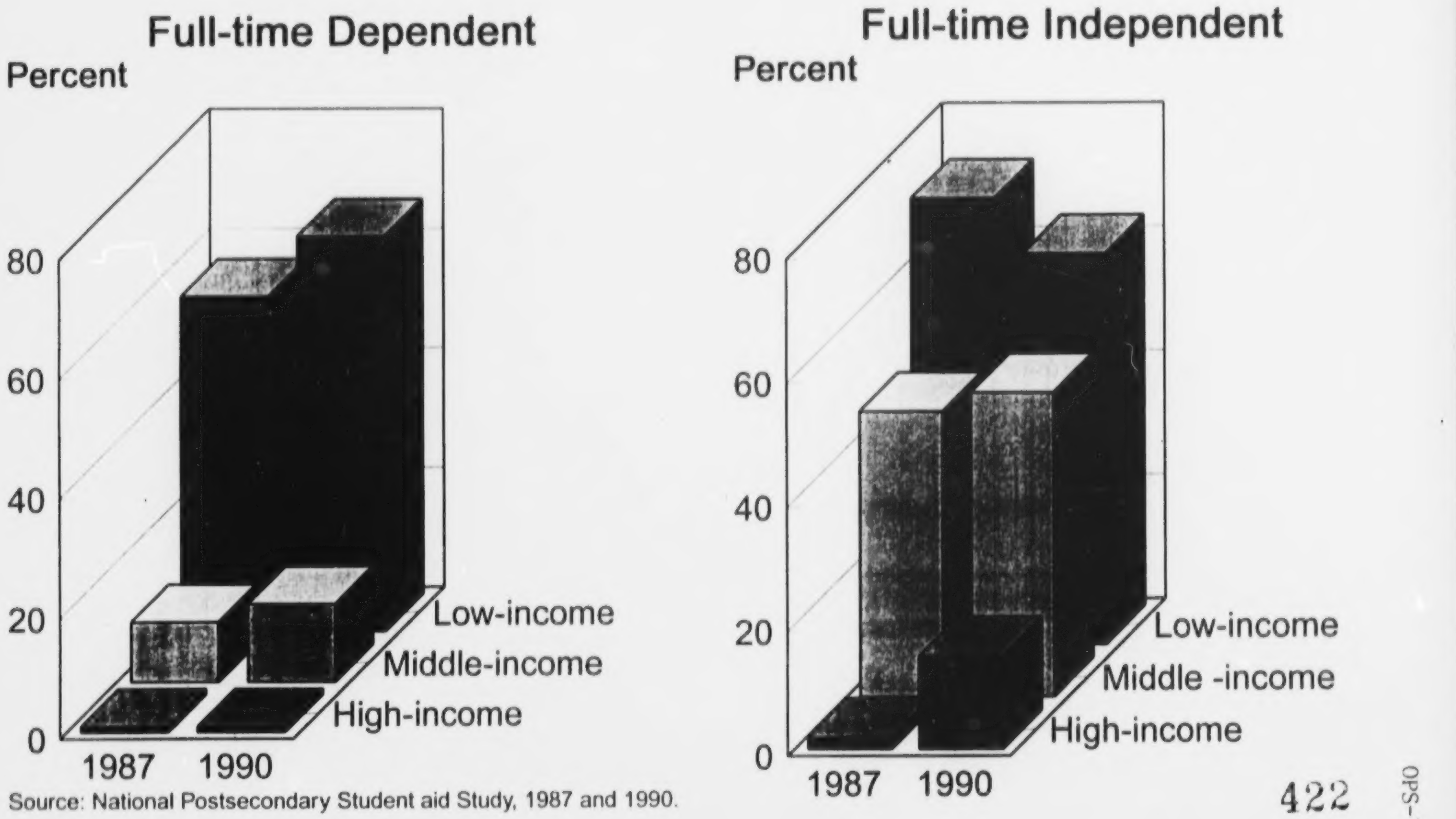
*Low Income Defined as Families in the Bottom 20% of Income Distribution

Source: The College Board; October CPS, 1979 -1991

OPS-6

Figure 4

Percent of Postsecondary Students Receiving Any Federal Grants, by Dependency Status and Income: 1987 and 1990



Source: National Postsecondary Student aid Study, 1987 and 1990.

PROGRAM INTEGRITY: ENSURING QUALITY AT POSTSECONDARY INSTITUTIONS

The primary Federal mechanism for helping to ensure the quality of postsecondary institutions is through the gatekeeping and oversight functions that control access to the Federal student financial aid programs. These program integrity functions are jointly shared by States, private accrediting agencies, and ED. In an effort to improve the quality of institutions participating in the student financial aid programs, the Higher Education Amendments of 1992 introduced changes to all aspects of program integrity.

The Department's mission of ensuring quality in Title IV programs now emphasizes prevention in addition to inspection. This proactive approach is an outgrowth of the new legislative authority mandated by the Institutional Quality Assurance Program (IQA). The Department's commitment to ensuring quality at postsecondary institutions is supported by the fact that approximately 100 institutions now participate in the IQA Program. Accordingly, correction and prevention represent important aspects of the Department's pledge to work towards ensuring quality at postsecondary institutions. Rigorous accountability for Title IV dollars, school evaluations, and student satisfaction with programs attest to ED's concern for ensuring quality at postsecondary institutions.

The emphasis upon ensuring quality is intended to complement the importance that attaches to ensuring access in ED's plan for postsecondary institutions participating in Title IV programs. Moreover, for FYs 1995 and 1996, the Department will continuously monitor and evaluate the functioning of all aspects of program integrity as part of its oversight responsibilities for ensuring the quality of postsecondary institutions.

The following section focuses on the issues of ensuring quality and access in its discussion of ED's program integrity activities. It further describes the responsibilities of States and accrediting agencies, in addition to the Federal Government, in the program integrity process and offers some baseline measures of how the current system is operating at the Federal level.

STATE RESPONSIBILITIES

States have a dual role in the program integrity system: they license institutions and, under the State Postsecondary Review Program, they conduct reviews of institutions that meet specific statutory review criteria.

State Licensing: The key function of State licensing is to determine the viability of an educational institution as a business. Thus, State licensing agencies assess such characteristics as the adequacy of an institution's resources, the criminal records of institution owners, and compliance with health and fire codes. According to a recent study, the licensing of postsecondary institutions in many States also attempts to judge minimal educational standards by establishing guidelines for curriculum, equipment, teaching materials, and advertising.[3]

State licensure is principally concerned with profit-making institutions that pay State taxes. In contrast, public and non-profit institutions are not traditional businesses and do not pay State taxes. Thus, they are exempt from many State licensing requirements. However, even institutions that are exempt from most licensing requirements must be licensed by a State agency -- usually the State's higher education coordinating board -- as a legally authorized postsecondary educational institution.

State Postsecondary Review Program: The State Postsecondary Review Program (SPRP) was introduced by the Higher Education Amendments of 1992 that created State Postsecondary Review Entities (SPRE). Under this program, the State's function is to conduct or coordinate reviews of institutions referred to the State by the Secretary of Education under specific statutory provisions. The purpose of the SPRE reviews is to determine whether those institutions should continue to participate in student assistance programs authorized under Title IV of the Higher Education Act of 1965, as amended. The SPRE reviews institutions on the basis of State review standards developed in consultation with institutions located in the State and approved by the Secretary.

In FY 1993, $5.3 million was made available to States to allow them to begin to develop planning activities under the SPRP. All States have now entered into agreements with the Secretary to participate in the SPRP and submitted applications which were approved for funding to carry out planning activities. The allowable planning activities included developing State review standards, in consultation with institutions located in the State; developing procedures for receiving and responding to complaints, also in consultation with the institutions located in the State; and developing a cost estimate for an information system for the SPRE. For FY 1994, $21.25 million is available (through an award, year ending June 30, 1995) for States to complete the develoment of their standards and to begin review once those standards have been approved by the Secretary.

While the individual State timetables for developing State review standards vary, a number of States have concluded their consultation with institutions and have submitted standards for the Secretary's formal review. In the summer of 1994, the Department notified institutions of their possible referral to SPREs and allowed them an opportunity to challenge the accuracy of the data that would be used to refer them. The first reviews under the State Postsecondary Review Program are expected to occur in early 1995.

---

[3] The Methods and Effectiveness of State Licensing of Proprietary Institutions. A Report to the State Higher Education Executive Officers. (Washington, D.C. : National Commission on Responsibility for Financing Postsecondary Education, January 1991).

ACCREDITATION

Neither the United States Government nor any other centralized authority exercises national control over educational institutions in this country. The States assume varying degrees of control over education but, in general, institutions of postsecondary education are permitted to operate with considerable independence and autonomy. As a consequence, American educational institutions vary widely in the character and quality of their programs. In order to ensure a basic level of quality, the practice of accreditation arose in the United States as a means of conducting nongovernmental, peer evaluation of educational institutions and programs. Private educational associations of regional or national scope have adopted criteria reflecting the qualities of a sound educational program, and have developed procedures for evaluating institutions or programs to determine whether or not they are operating at basic levels of quality.

Accreditation serves as one of the key elements used by the Department to determine whether or not institutions of higher education are eligible to participate in programs administered by the Department and other Federal agencies. In addition, accreditation serves other functions such as certifying that an institution has met established standards; assisting prospective students in identifying acceptable institutions; assisting institutions in determining the acceptability of transfer credits; stimulating the self-improvement of educational institutions and programs; and establishing criteria for professional certification and licensure.

The Secretary of Education is required by statute to publish a list of nationally recognized accrediting agencies which the Secretary determines to be reliable authorities as to the quality of training offered by the educational institutions and programs they accredit. Currently, the Secretary recognizes 88 accrediting agencies. These agencies are required by statute to be evaluated by the Secretary at least once every five years, or sooner for cause.

The Higher Education Act (HEA) Amendments of 1992 required that new regulations be developed to govern the recognition of accrediting agencies. These new regulations were published on April 29, 1994 and became effective on July 1, 1994. The new regulations require accrediting agencies to revise and/or develop new policies, procedures, bylaws, and standards to comply with the law.

The following are some of the major new requirements that agencies must meet:

1. Agencies' accreditation must serve some Federal purpose: their accrediation must be a required element in enabling the institutions and programs they accredit to establish eligibility to participate in programs administered by the Department or by other Federal agencies.

2. Agencies whose accreditation enables the institutions they accredit to participate in

programs authorized under the HEA must be administratively and financially separate from and independent of any related, associated, or affiliated trade association or membership organization.

3. Agencies whose accreditation enables the institutions they accredit to participate in programs authorized under the HEA must conduct, in addition to regular announced on-site review of an institution, at least one unannounced inspection of each institution that provides vocational education or training.

4. Agencies must assess any new or substantively changed program before including it in the agency's previous grant of accreditation.

5. Agencies must have standards that assess items such as faculty; curriculum; fiscal and administrative capacity; recruiting and admissions practices; program length and tuition and fees in relation to the subject matters taught and the objectives of the degrees or credentials offered; measures of program length in clock hours or credit hours; success with respect to student achievement in relation to the institution's mission; and the institution's compliance with its program responsibilities under Title IV of the HEA.

6. Agencies are required to take adverse action against an institution or program that fails to bring itself into compliance with agency standards within a specified time frame.

7. Agencies whose accreditation enables institutions to participate in Title IV of the HEA must take special action whenever institutions establish new branch campuses. Specifically, agencies must approve a business plan for the branch before its opening and conduct an on-site review within six months.

In September 1994, the Secretary withdrew the recognition of 8 accrediting agenices whose accreditation served no Federal purpose. The Department has begun to implement the new regulations by improving and expanding its ongoing system of monitoring accrediting agencies and the institutions they accredit. Other initiatives to increase the effectiveness of the Secretary's review process include increased communication with the States, institutions, and accrediting agencies.

FEDERAL RESPONSIBILITIES

Approval to Participate (Eligibility and Certification)

The final step of the gatekeeping process is the determination by the Department that the institution is approved to participate in the student financial aid programs. At this step, ED determines both an institution's legal eligibility to participate in the programs and its administrative and financial capabilities to do so. Institutions are required to submit for review financial statements and other pertinent materials.

Before seeking certification, institutions must first satisfy statutory and regulatory eligibility requirements for the educational programs they offer. Eligible programs are those that are accredited, licensed, and have met other legal requirements for participating in the Title IV aid programs, such as admissions practices, minimum program length, and type of credential offered. Not all programs offered by a licensed and accredited institution are necessarily eligible to participate in ED student aid programs.

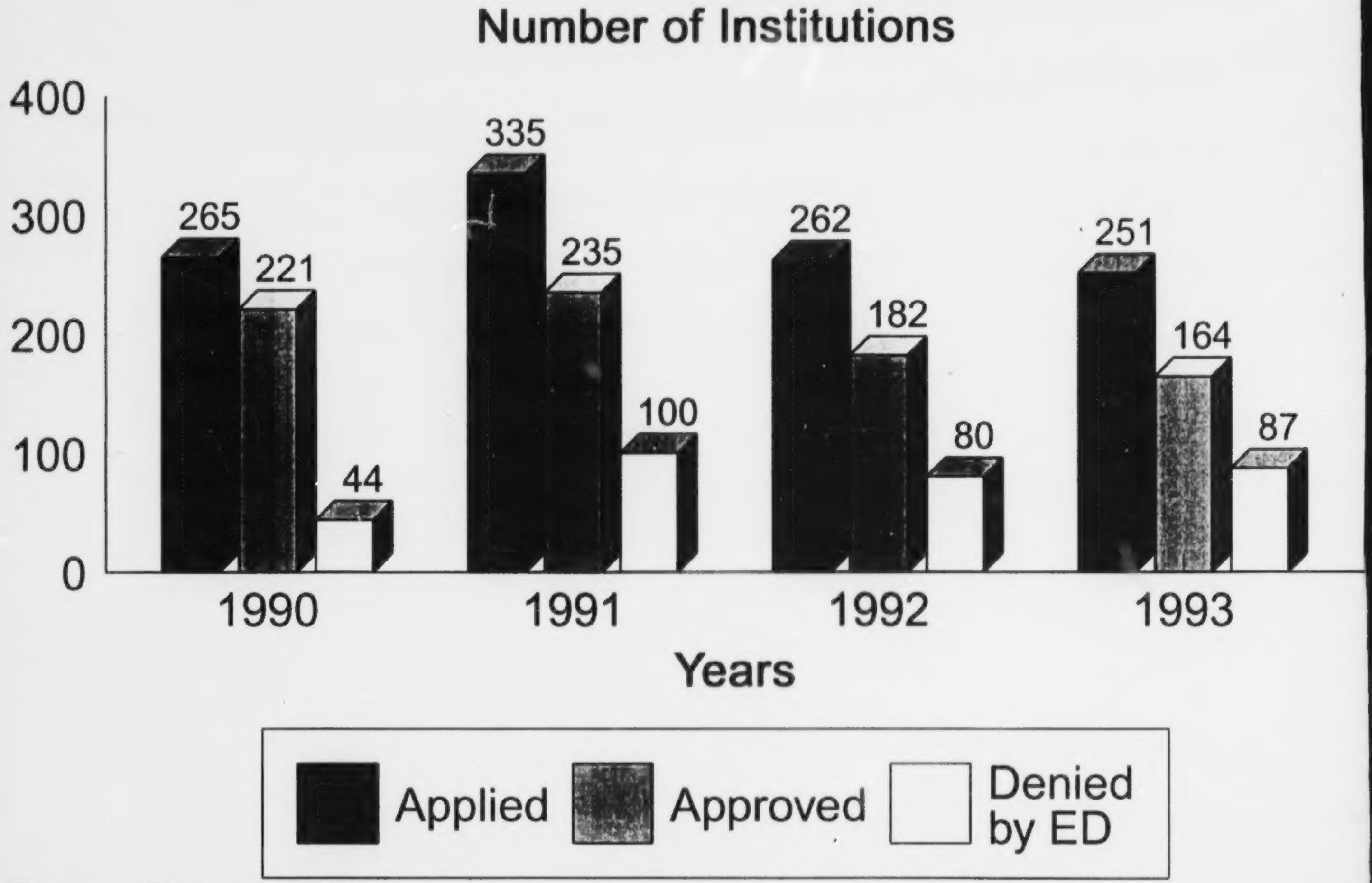
Through the certification process, institutions offering eligible programs are judged according to their administrative capability. Institutions that meet all certification requirements of the statute and regulations enter into a Program Participation Agreement with the Department.

Institutions that have not previously participated in the student aid programs are required to send representatives to ED-sponsored pre-certification training sessions.

Figure 5, "Institutional Applications for Participation," and Figure 6, "Institutional Applications for Participation: Percentage Denied by ED," describe the results of ED's review of institutional applications for participation in the Title IV programs in recent years.

Figure 5

Institutional Applications for Participation

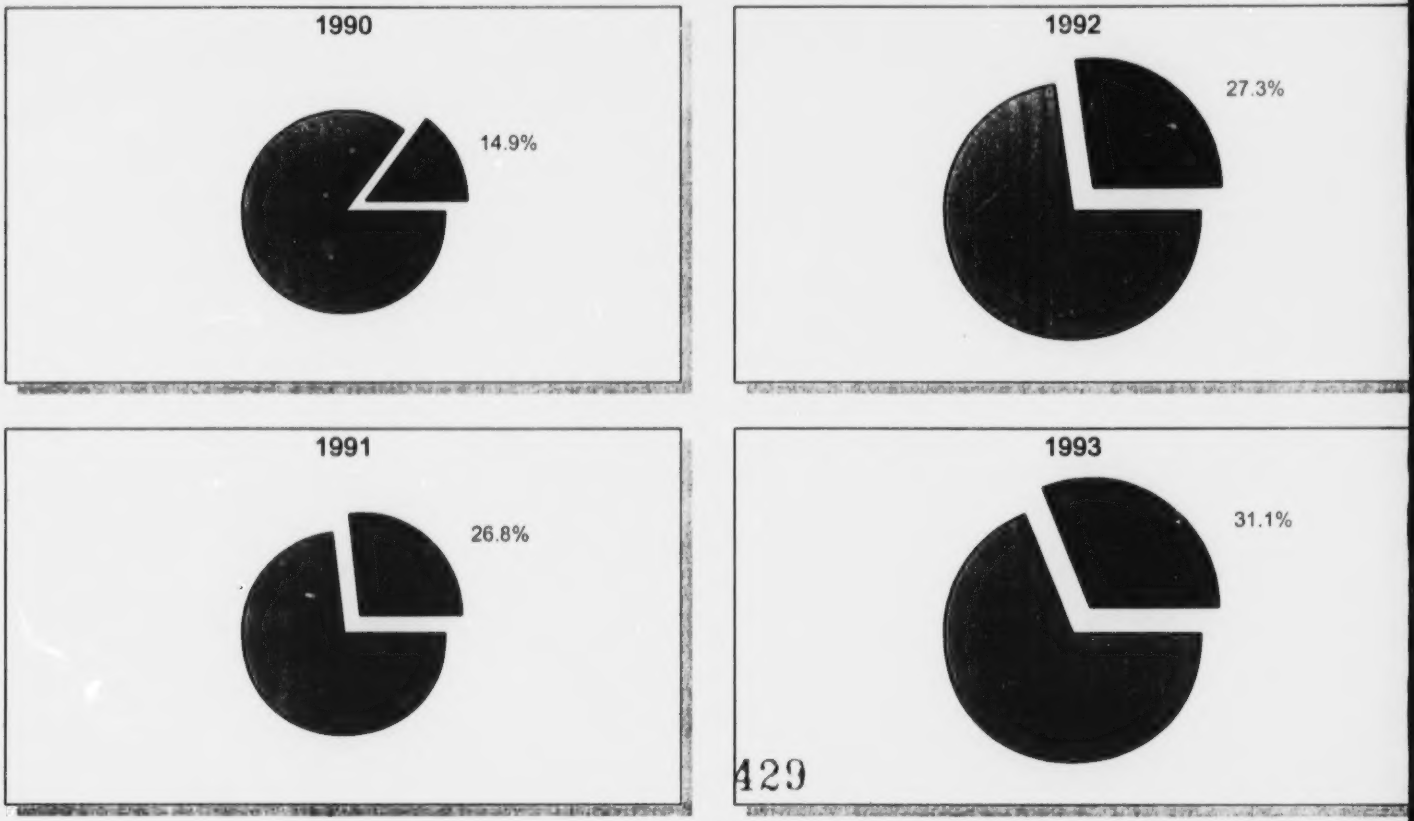


Source: Program Data

Figure 6

Institutional Applications for Participation

Percentage Denied by ED



Source: Program Data

Pursuant to the authority granted by the Higher Education Amendments of 1992, ED is now requiring that all institutions submit audited financial statements annually and undergo recertification at least once every four years. In addition, new institutions and institutions that change ownership are being provisionally approved, for periods up to three years, to give ED the opportunity to monitor their financial responsibility and their compliance with applicable regulations. In the future, institutions that do not demonstrate full compliance with the new financial responsibility and administrative capability standards during the recertification process will be either denied reapproval or approved provisionally.

Program Reviews

After an institution begins to participate in the student financial aid programs, it is subject to program reviews by ED staff.

Schools have been selected for review on the basis of a list of criteria indicating potential lack of proper program administration. Regional office input also has been a factor in review selection. In recent years, reviews have focused heavily on funding and documenting serious problems and determining the financial liabilities of the schools to the Department and other entities. Between 700 and 1000 reviews were conducted annually in FYs 1990 to 1992. Liabilities assessed ranged from $72 million to $226 million per year. The average liability assessed during this period ranged from $87,000 to $248,000 per institution.

Areas of deficiency most often cited in the program review reports include the following:

1) fiscal records or audit trail inadequate;

2) excess cash maintained;

3) expenditures report inaccurate;

4) late or unpaid refunds;

5) refund calculation incorrect;

6) administration of ability-to-benefit requirements improper;

7) satisfactory progress standards not monitored or developed;

8) financial aid transcripts missing or incomplete;

9) verification incomplete or unresolved due to faulty documentation;

10) Perkins Loan due diligence deficient;

11) high default rate and associated issues; and

12) records not accessible or not maintained for five years.

In FY 1991, the Department elected to emphasize more intensive quality reviews. Some of the features of the quality intensive reviews are that they were longer in duration and frequently had more than one person performing the review. This strategy proved to be successful as assessed liabilities showed marked increases. In FY 1993, assessed liabilities were $328 million, an increase of 45 percent from $226 million in FY 1992. Furthermore, $311 million in liabilities have been assessed in FY 1994 as of June 1994.

In FY 1994, new program review initiatives include the use of review selection criteria targeting high-risk schools; institutional profiles of schools created prior to reviews; survey reviews to quickly assess the extent of administrative difficulties at an institution; a concentrated team approach to handle reviews of the highest-risk institutions (including representatives of the Office of Inspector General, accrediting agencies, State Postsecondary Review Entities, and the Office of the General Counsel, as appropriate); training in statistical sampling techniques; expanded use of and coordination between available computer systems; and new software and computer systems to support program reviewers' work.

Audit Resolution

Audits prepared by independent CPAs and State auditors are analyzed and researched to ensure that school administration of the Student Financial Assistance Programs (SFAP) are in compliance with regulations, statutes, and Department policies. The resolution process includes interpretation of program compliance, research and verification of administrative controls and management, as well as discussing the resolution of findings with school officials. When violations at an institution are indicated, referrals are made for administrative, civil, or criminal action. Citations of violations are documented by references to specific regulations and statutes in support of the determination. Audit specialists consult with program offices throughout the Department to maintain current information on institutional status, investigations, and prosecutions. The specialists review the quality and accuracy of the auditor's work and findings and incorporate this in the determination issued to the school.

Schools have been required to submit compliance audits every two years supporting all activities for their Title IV participation. Under the Amendments to the Higher Education Act, schools will now be required to submit annual audits demonstrating their compliance with SFA programs. As a direct result, the number of audits to be reviewed will increase from 3,200 audits a year to over 8,000. Of these, approximately one-third require intensive research, discussion, and resolution. This increased audit frequency will provide the SFAP with the ability to diligently pursue violations and immediate corrective action to prevent continued abuse of funds.

Closed schools and those that have lost their eligibility to participate in Title IV programs are still required to submit audits in support of their administration of funds. Through this mechanism, the SFAP can verify that funds have been correctly spent up to the point of closure or the point where a school may cease to continue in Title IV programs.

The result of determinations made may include liabilities for funds improperly spent, fines, or demand for total return of all funds for a specific year in the most severe actions. Other measures may be taken such as adjustments to Pell Grant authorizations, and actions to place schools on a reimbursement system of funding.

As part of the concentrated oversight process, risk-assessment criteria and management methods are being developed to prevent program violations before the submission and conclusion of the audit process. Through data gathered from prior audits and cooperative efforts with program reviews, the focus will be on high-risk institutions nationwide. Over the past 10 years, conscientious attention to the auditing process has resulted in a dramatic increase in the total return of funds as demonstrated by Table 1, "Audits Closed."

Table 1

AUDITS CLOSED

FISCAL YEAR	TOTAL AUDITS	NO. WITH FINDINGS	PERCENT	DOLLAR AMOUNT
84	2,270	1,444	53	21.9 M
85	3,446	1,802	52	20.5 M
86	2,697	1,200	44	25.4 M
87	3,061	1,169	38	24.6 M
88	2,832	1,266	44	22.8 M
89	3,581	1,424	40	37.2 M
90	3,114	1,302	42	74.3 M
91	3,286	1,289	40	222.1 M
92	4,649	1,781	38	397.5 M
93	3,976	1,394	35	479.3 M
10/1/93 to 6/15/94	1,701	607	36	30.2 M

Institutional Quality Assurance Program

In 1992, Congress gave the Secretary authority, in Section 487A of the Higher Education Act of 1965, as amended, to select institutions for voluntary participation in a Quality Assurance Program. It provides participating institutions with an alternative management approach through which individual schools develop and implement their own comprehensive systems to verify student financial aid application data, thereby enhancing program integrity within the student aid delivery system. Although the Institutional Quality Assurance (IQA) Program began as early as 1985 as a pilot project, this new legislative authority strengthened its role in the Department's oversight mission. For the first time, prevention joined inspection as a partner in managing and overseeing the administration of Title IV programs and dollars.

Approximately 100 institutions currently participate in the IQA Program which encourages innovative and flexible management approaches to increase award acuracy and enhance service to students. After assessing their policies and proceedures, institutions measure variances and analyze probable causes and develop potential solutions. The participants also commit to implement corrective actions and management enhancements and report to ED the results of their preventive actions.

Since 1985, both ED and the institutions have noted a variety of benefits from the emphasis on up-front correction, prevention and continuous improvement:

- realization of the benefits of an ED/institutional partnership to promote the effective delivery of student aid at the campus level, in contrast to the regulated compliance approach which, by its intent, detects problems after the fact;
- enhanced awareness by other components of the institution--such as registrars or business officers--that the financial aid office is committed to improved quality of service to students and their willingness to assist with the process;
- greater confidence that limited Title IV dollars are properly awarded to needy students;
- greater institutional control over their methods of validating the data relied upon to determine awards, plus the ability to focus limited staff and dollar resources on the things that make a difference when serving students;
- reduced ED on-site review activity at such institutions, based upon the feedback provided annually detailing continuous improvement actions and positive trends in targeting aid to appropriate students, allowing ED to focus its limited on-site review capability on more compelling situations, and saving the institutional participants from unnecessary distraction;
- better school evaluations in Title IV audits, resulting in fewer payback situations and less time spent in undertaking to reconstruct or correct past mistakes, and less ED effort needed to resolve such audits; and
- greater student satisfaction with services provided, as schools made more effective use of staff to meet genuine needs and address past weaknesses that slowed or flawed the awarding process and, in short, found it possible, once again, to be student-centered.

The four-year trend shows reduction of variances for the analysis group. All over- and underpayment, and over- and undercertification variances, have decreased from award year

1988-89 to 1991-92. This is true for the Pell, Campus-Based, and Stafford Loan Programs. In fact, the analysis group has attained an overpayment variance rate of under five percent for each program. For the Pell program, the analysis group has reduced overpayment variance from 7.79 percent in 1988-89 to 4.91 percent in 1991-92. Pell underpayment variance has decreased over the same period even though it was less than 2 percent in 1988-89. The most dramatic drop in variance rates can be seen in the Stafford overcertification item -- decreasing 7.19 percentage points in 1988-89 to 5.74 percent in 1991-92.

Acting on the positive results and the legislative authority, the Department has identified additional areas of institutional responsibility in which a commitment to quality assurance is vitally important. Among these areas are: 1) institutional and program eligibility; 2) selected general administrative and fiscal standards; 3) refund and repayment policies and procedures; and 4) management of Federal cash. The IQA Program Team in SFAP, aided by participating IQA Program institutions, is formulating the expansion into these areas. The IQA Program has served as the model for the Quality Assurance component that is part of the Federal Direct Student Loan Program.

Default Reduction Initiative

The Default Reduction Initiative provides the Department with the authority to place restrictions on schools and/or remove their eligibility to participate in the Federal student financial assistance programs if their cohort default rates exceed certain thresholds.

As required by the Higher Education Act of 1965, as amended, the Department can impose a restriction on a school's ability to certify Federal Supplemental Loans for Students (Federal SLS) loan applications if the school has a cohort default rate of 30.0 percent or greater. As a result of a court decision in December 1992, a school with a cohort default rate of 30.0 percent or greater can challenge its cohort default rate before the restriction on its participation in the Federal SLS program is fully implemented, if certain deadlines are met. Although the Omnibus Reconciliation Act of 1993 eliminated the Federal SLS program effective July 1, 1994, the Department still has appeals to resolve for possible liability determinations.

Schools lose their eligibility to participate in the Federal Family Education Loan (FFEL) Program if they have cohort default rates of 30.0 percent or greater for fiscal years 1989, 1990, and 1991. With the release of the fiscal year 1992 cohort default rates in the summer of 1994, schools will lose their FFEL eligibility if their cohort default rates are 25.0 percent or greater for fiscal years 1990, 1991, and 1992. Historically Black Colleges and Universities, tribally controlled community colleges, and Navajo community colleges are statutorily exempt from this restriction of loss of FFEL Program eligibility. Schools that have previously lost their FFEL Program eligibility may have their ineligibility extended if their cohort default rates continue to exceed the threshold for FFEL Program eligibility. All schools may appeal the action on the grounds of exceptional mitigating circumstances, erroneous data, or that the defaults were due to improper loan servicing.

A school with an FY 1992 cohort default rate that exceeds 45.0 percent, or exceeds 40.0 percent and is not five percentage points less than its fiscal year 1991 cohort default rate, is subject to an administrative action to limit, suspend, or terminate its participation in all Title IV student assistance programs. When the Department initiates a limitation, suspension, or termination action against a school, the school is notified in writing and is given the opportunity to appeal the intended action before a hearing official. The school's only defense in such an action is that it acted diligently to implement all of the default reduction measures described in 34 CFR 668, Appendix D.

Five hundred ninety-seven schools have been subject to loss of FFEL Program eligibility over the past three years. Of these 597 schools, 398 have lost their eligibility or have closed. For FY 1991, 598 schools were subject to restrictions on their eligibility to participate in the Federal SLS program, and 455 schools were subject to limitation, suspension, or termination actions affecting their participation in all Title IV programs.

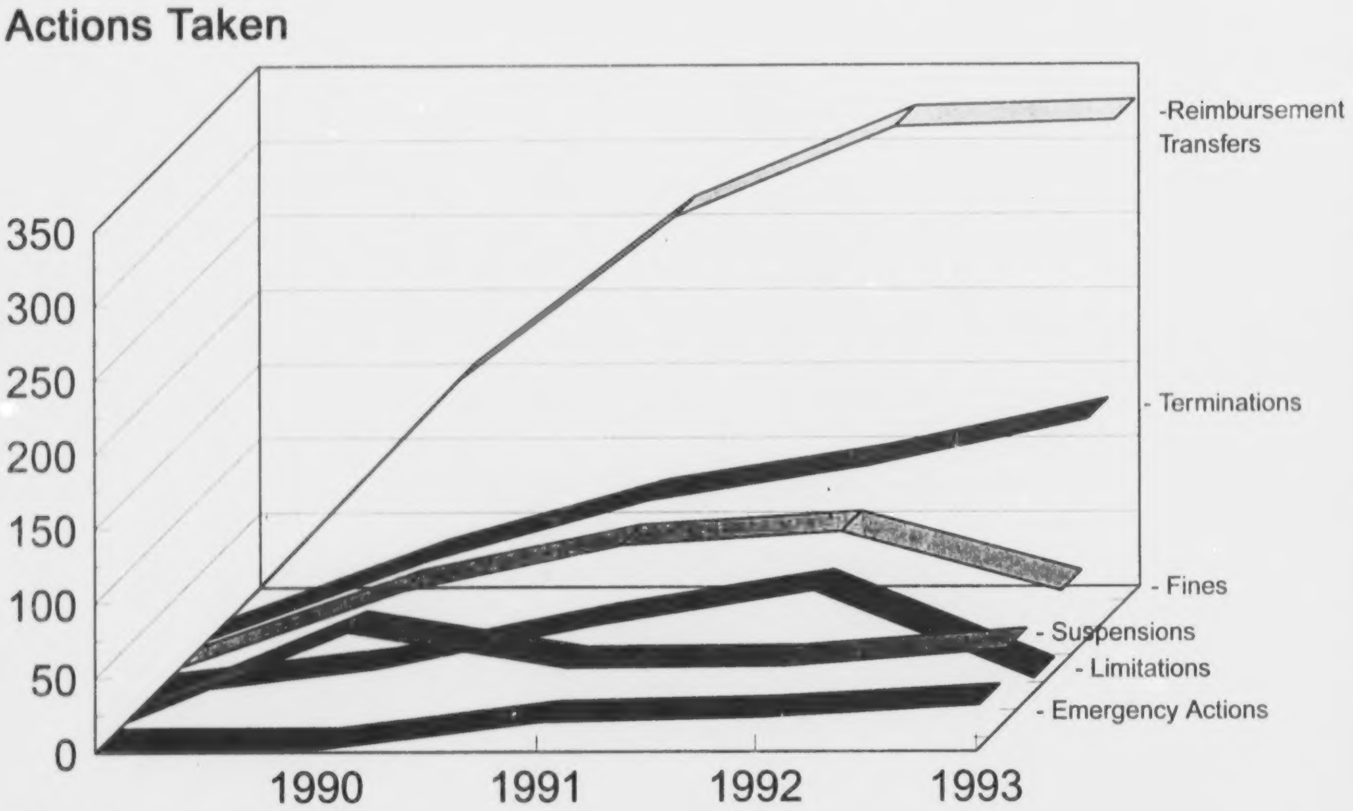
In the past year, the Department and other agencies (e.g., lenders) have increasingly used school default rates as an indicator of administrative capability. For example, school cohort default rates are used to determine schools' eligibility for the Federal Direct Student Loan Program. In addition, with the release of the FY 1992 default rates, the Department and the States will begin to implement the State Postsecondary Review Entity (SPRE) Reviews mandated by Congress. Schools with cohort default rates of 25.0 percent or greater will be selected for review unless they can successfully challenge the accuracy of their cohort default rates.

Adverse Administrative Actions

When, during the many oversight activities discussed above, institutions are found not to be in compliance with the statutory and regulatory provisions of the Title IV student financial assistance programs, a number of administrative actions can be imposed on those institutions. The possible range of actions include fining institutions, imposing emergency actions against them, and limiting and terminating their eligibility to participate in the student aid programs. Institutions and lenders may be disqualified from participation in the Federal loan programs based on referrals from guaranty agencies that have terminated the schools and lenders from their programs. Schools may be transferred to the reimbursement system of payment in an attempt to monitor more closely the flow of Federal student financial assistance funds to them. Finally, individuals and corporations that have been indicted, convicted, or otherwise pose a risk to the proper administration of Federal funds, may be suspended and debarred from all nonprocurement transactions, government-wide.

Figure 7, "Adverse Administrative Actions taken by ED," reflects the increase in the number of adverse administrative actions taken by the Department's Compliance and Enforcement Division during the past four fiscal years.

Figure 7
Adverse Administrative Actions Taken by ED



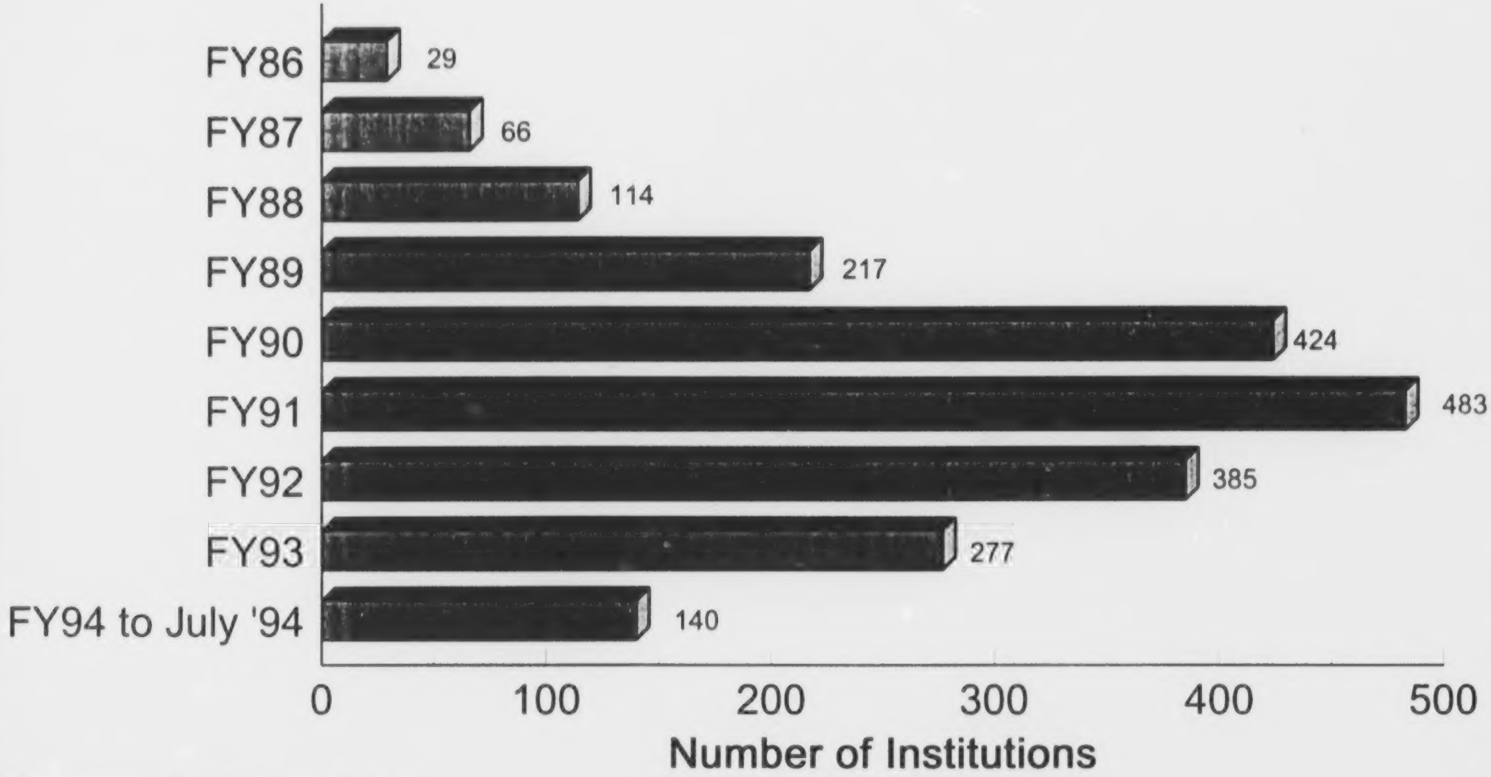
Source: Program Data

Closed Schools

Finally, often as a result of the program integrity function, schools frequently close. These closings prompt a number of results. For example, one significant statistic associated with closed institutions concerns the percentage of liabilities assessed by the Institutional Participation and Oversight Service within SFAP that is attributable to such institutions. Approximately 80 percent of the $337 million in FY 1993 liabilities were assessed against schools that closed. Furthermore, the Department and the guaranty agencies have begun to discharge FFEL Program loans for students who were attending schools at the time they closed or who were victims of false certifications committed by the schools.

Closed schools nationwide are monitored by SFAP. This aspect of SFAP activity includes determining closure dates for such institutions, assisting in teachout arrangements for students, retrieving Perkins Loan notes, and coordinating the many issues that pertain to closed schools. Figure 8, "Formerly Participating Institutions That Have Closed," summarizes the trend for FYs 1986-1994 (to date) concerning schools that have closed.

Figure 8
Formerly Participating Institutions That Have Closed



Source: Program Data

441

OPS-25

FEDERAL PELL GRANT PROGRAM
(CFDA No. 84.063)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 1, as amended (20 U.S.C. 1070a) (expires September 30, 1997).

Purpose: To help financially needy undergraduate students meet the costs of their education at participating postsecondary institutions by providing direct grant assistance.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$ 122,100,000	1987	$4,187,000,000
1975	840,200,000	1988	4,260,430,000
1980	2,157,000,000	1989	4,483,915,000
1981	2,604,000,000	1990	4,804,478,000
1982	2,419,040,000	1991	5,375,502,000
1983	2,419,040,000	1992	5,502,855,000
1984	2,800,000,000	1993	6,461,970,000
1985	3,862,000,000	1994	6,633,566,000
1986	3,579,716,000		

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

An important indicator of the Federal Pell Grant Program's performance in assisting needy postsecondary students is the targeting of Federal Pell Grant awards. The following table shows one measure of targeting: the percentage of dependent and independent postsecondary students who received Federal Pell Grants by income category.[1] As shown, 65 percent of dependent low income students and 62 percent of independent low-income students received Federal Pell Grants in 1990, a far greater percentage than in the middle-or high-income categories. Among dependent students, a larger percentage benefited from the program in 1990 than in 1987 in both the low-and middle-income categories. Independent low-income students showed a decline in the percentage of students receiving awards, but the percentage of middle-and high-income students receiving awards increased.

---

[1] Income categories are defined by income quartiles: low income students fall in the lowest quartile of the income distribution, high income students fall in the top quartile, and middle income students fall in the middle two quartiles of the income distribution.

Table 1

PERCENTAGE OF FULL TIME POSTSECONDARY STUDENTS RECEIVING PELL GRANTS, ACADEMIC YEARS 1986-87 AND 1989-90

	1986-87	1989-90
Dependent	17	19
Low income	55	65
Middle income	6	11
High income	1	0
Independent	48	48
Low income	72	62
Middle income	43	47
High income	2	14

SOURCE: III.4.

Population Targeting and Services

Federal Pell Grants are available to undergraduate students enrolled in a degree or certificate program at an eligible institution. Students must have a high school diploma or its equivalent or pass an examination prepared by the Secretary to demonstrate ability to benefit from the training offered by the institution. Students must also demonstrate financial need based on the cost of education and the ability of the student, or student and family, to pay this cost. The calculation of this ability to pay is based on a Congressionally specified formula applied to the financial data of the student, or student and family. The 1992 Reauthorization of the Higher Education Act established a single formula for determining eligibility for all Title IV student aid programs.

Participation: 4.0 million students received Federal Pell Grants averaging $1,543 in the 1992-93 award year (see Table 2). This represents an increase of 29.6 percent in the number of recipients since 1985-86 (III.1).

Table 2

SELECTED STATISTICS ON THE FEDERAL PELL GRANT PROGRAM 1985-86, 1990-91, 1991-92, 1992-93 ACADEMIC YEARS

	1985-86	1990-91	1991-92	1992-93
Number of applicants	5,627,131	7,138,940	7,775,216	8,248,141
Number determined eligible	3,710,933	4,507,984	4,941,079	5,243,139
Number of recipients	2,813,489	3,404,810	3,786,230	4,002,045
Total awards (in thousands of dollars)	$3,597,380	$4,935,191	$5,792,703	$6,175,902
Average (in dollars)	$1,279	$1,449	$1,530	$1,543

SOURCE: III.1.

Distribution By Sector: In 1992-93, 6,401 institutions were participating in the Federal Pell Grant Program, virtually unchanged from the 6,434 institutions in 1991-92. These counts refer to main campuses. If branches are included, the numbers are 8,867 in 1992-93 and 8,734 in 1991-92, an increase of approximately 1 percent. Nearly half (49 percent) of these were proprietary (private, for-profit) schools, with the remainder divided almost equally between public and private nonprofit institutions (III.2).

Table 3 shows the distribution of award amounts for public, private nonprofit, and proprietary institutions. Students at proprietary institutions receive almost one-fifth of Federal Pell Grants (21 percent). The proprietary share grew from 21 percent in 1984-85 to about 27 percent in 1987-88, but has fallen back to 21 percent in 1991-92. There was a decline in the share of Federal Pell Grant recipients from private nonprofit institutions from 23 percent in 1984-85 to 20 percent in 1991-92. The funding share of public institutions has remained stable, the change from beginning to end of the period being less than 3 percent.

Table 3
PERCENTAGE DISTRIBUTION OF FEDERAL PELL AID BY TYPE OF INSTITUTION
AWARD YEARS 1984-85 to 1992-93

Award Year	Public	Private Nonprofit	Proprietary
1992-93	62.1	19.5	18.4
1991-92	59.6	19.5	20.9
1990-91	57.9	19.7	22.4
1989-90	56.9	20.0	23.1
1988-89	55.4	20.2	24.4
1987-88	53.3	20.1	26.6
1986-87	54.4	20.8	24.8
1985-86	55.8	22.0	22.2
1984-85	56.2	22.9	20.9

SOURCE: III.1, III.2, III.3.

Distribution By Dependency Status: As shown in Table 4, the proportion of aid awarded to independent students is increasing. In 1984-85, independent students received 48.6 percent of all awards and 49.3 percent of the total amount awarded, but by 1992-93, the independent student share had risen to 62.1 percent of awards and 63.3 percent of the total amount awarded. Among independent students receiving Federal Pell Grants in the 1992-93 award year, 78.8 percent were older than 22 years of age, while among dependent recipients only 4.8 percent were over 22 years old (III.1).

Table 4
PERCENTAGE DISTRIBUTION OF FEDERAL PELL AID BY DEPENDENCY STATUS
AWARD YEARS 1984-85 to 1992-93

Award Year	Number of Awards to Independent Students	Number of Awards to Dependent Students	Amount of Awards to Independent Students	Amount of Awards to Dependent Students
1992-93	62.1	37.9	63.3	36.7
1991-92	61.5	38.5	62.6	37.4
1990-91	60.5	39.5	61.9	38.1
1989-90	59.0	41.0	60.3	39.7
1988-89	57.9	42.1	59.4	40.6
1987-88	57.5	42.5	57.9	42.1
1986-87	53.9	46.1	54.9	45.1
1985-86	50.4	49.6	51.2	48.8
1984-85	48.6	51.4	49.3	50.7

SOURCE: III.1, III.3.

Distribution By Income: The Federal Pell Grant Program serves predominantly lower-income students: 67 percent of all Federal Pell Grant recipients had incomes of $15,000 or less in the 1992-93 award year (for dependent students, their parents' income; for independent students, their own income) and 92.5 percent had incomes not exceeding $30,000 per year (approximate national median family income).

Additional breakdown of awards by family income is shown in Tables 5 and 6 for dependent and independent students. Note that the average award declines as income increases. Within a specific income category, the average independent award is actually lower than the average dependent award, but overall this is reversed because independent students are so heavily concentrated in the lowest income (highest average award) group. Nearly half (43.6 percent) of independent recipients were in this group while only 14.7 percent of dependent recipients were.

Table 5

PERCENT DISTRIBUTION OF FEDERAL PELL AWARDS FOR DEPENDENT STUDENTS BY FAMILY INCOME 1992-93 AWARD YEAR

	Dependent Students						
	0 to $6,000	$6,001-$9,000	$ 9,001-$15,000	$15,001 - $20,000	$20,001 - $30,000	$30,001 +	Total
Percent Distribution of Recipients	14.7	9.7	19.3	15.9	24.8	15.6	100.0
Percent Distribution of Aid	18.3	12.0	23.2	17.0	20.5	9.0	100.0
Average Award $	1861	1857	1802	1599	1239	868	1498

Source: III.1.

Table 6

PERCENT DISTRIBUTION OF FEDERAL PELL AWARDS
BY INCOME FOR INDEPENDENT STUDENTS
1992-93 AWARD YEAR

	Independent Students						
	0 to $6,000	$6,001-$9,000	$ 9,001-$15,000	$15,001 - $20,000	$20,001 - $30,000	$30,001 +	Total
Percent Distribution of Recipients	43.6	19.5	18.1	7.7	8.5	2.5	100.0
Percent Distribution of Aid	48.7	21.0	16.6	6.9	5.8	1.1	100.0
Average Award $	1752	1689	1435	1409	1067	675	1571

Source: III.1.

Program Administration

Students applying for Federal Pell Grants submit a Free Application for Federal Student Aid approved by the Secretary which is processed for the Department of Education under contract with several data entry and processing organizations. The student is notified of his or her eligibility for assistance through the Student Aid Report (SAR). Copies of the SAR are sent to the student who forwards them to institutions at which the student wishes to apply. By law, the Department is also required to send the student's data and the results of that data analysis to the institutions that the student indicates on his or her application. The institutions calculate the student's award based on a formula defined in the authorizing statute. Institutions then report to the Department of Education on all Federal Pell Grant funds distributed to students enrolled at the school. Data on applicants and recipients are maintained by the Department through a contractor. The contractor provides data tapes and reports as required to monitor the operation of the program.

Outcomes

Analyses of data for academic year 1989-90 from the National Postsecondary Student Aid Study (III.4.) indicates that participation in the Federal Pell Grant Program varies by dependency status and income. Table 7 shows that overall, one fifth of all students -- 18 percent of dependent students and 23 percent of independent students -- received a Federal Pell grant. Proprietary school students were most likely to receive a Federal Pell Grant and students at public 2-year institutions least likely. This relationship held for both dependent and independent students at all income levels.

Over 60 percent of all dependent students with family incomes less than $10,000 a year received Federal Pell aid. This percentage declines sharply with increasing income. Only four percent of all dependent students with family incomes over $30,000 a year received Federal Pell aid. Almost half of the independent students with incomes under $10,000 a year participated in the Federal Pell Grant Program.

The Integrated Quality Control Measurement Project was conducted to measure the quality of awards in the 1988-89 award year under the major Title IV programs (Federal Pell, Campus-Based, Stafford Loans). The report was released in April 1991, and found that $481 million (approximately 9.9 percent) of Federal Pell funds were awarded in error including under-and over-awards. About 28 percent of Federal Pell Grant recipients had award errors exceeding $50 (III.5).

TABLE 7

PERCENTAGE OF STUDENTS PARTICIPATING IN THE FEDERAL PELL PROGRAM

1989-90 AWARD YEAR

	ALL	TYPE OF INSTITUTION				STATUS	
		2-YR. PUB.	4-YR. PUB.	PRIV.	PROP.	FULL-TIME	PART-TIME
ALL	20.4	12.8	20.8	23.6	52.0	30.2	8.7
DEPENDENT	17.7	11.2	17.7	21.8	40.8	21.1	8.1
INCOME							
UNDER $10,000	60.5	46.1	63.5	66.8	77.5	68.1	37.8
$10,000-$29,999	30.7	14.7	35.2	44.8	48.7	38.6	9.5
$30,000 & OVER	4.0	2.4	4.2	5.1	9.0	4.8	1.8
INDEPENDENT	23.0	13.7	26.3	27.1	57.2	47.5	9.0
INCOME							
UNDER $10,000	45.3	31.4	46.2	53.8	70.3	60.7	23.6
$10,000 & OVER	11.5	7.2	12.3	13.9	40.2	31.5	4.9

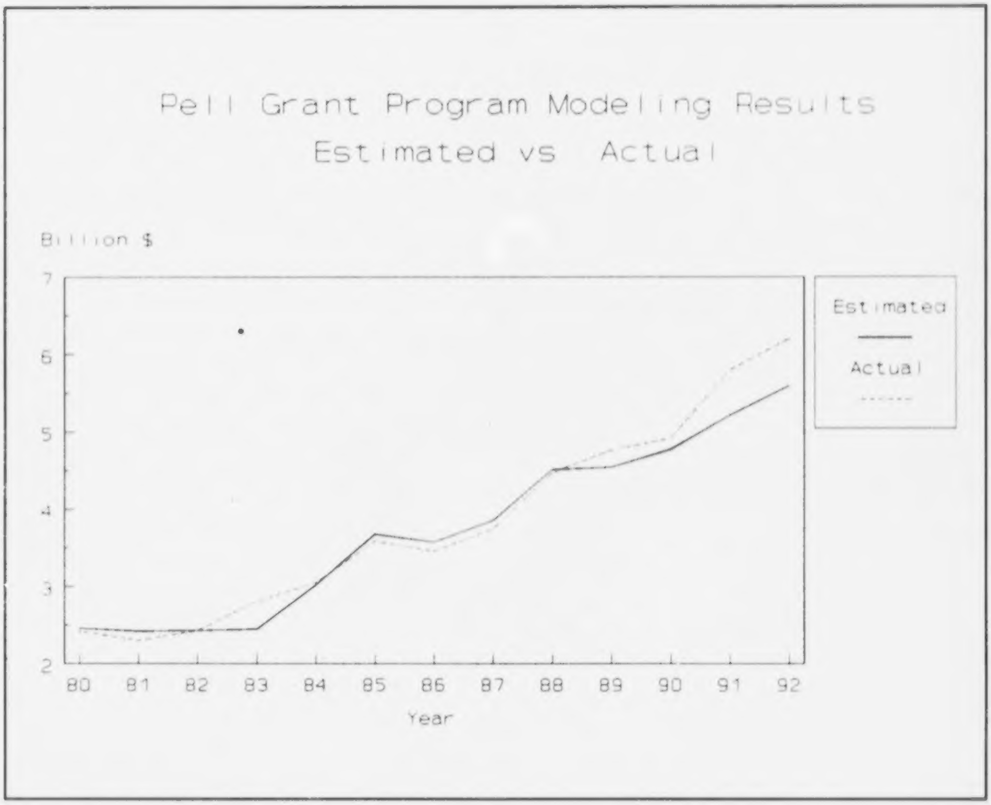
Source: III.4.

NOTE: A percentage of participation is for each grouping of students that is described by the intersecting row and column descriptors (e.g., 63.5 % for Dependents with income under $10,000 attending 4-year Public Institutions).

BEST COPY AVAILABLE

Management Improvement Strategies

The Department has taken several steps to improve the accuracy of its Federal Pell Grant cost forecasts. Historically, it has been difficult to predict changes in the demand for Federal Pell Grants around economic downturns, as the chart below illustrates. As shown, during recessionary periods, forecast errors have been relatively high. In an effort to improve forecasting accuracy, the Department has organized a monthly work group to provide input on the forecasting process, has maintained better information, and has carried out a number of studies on the Federal Pell Grant Program including analyses of applicant and recipient trends and the impact of exogenous changes on applications for Federal Pell Grants. These actions are expected to improve the Department's ability to forecast costs.



III. SOURCES OF INFORMATION

1. Pell Grant End-of-Year Report, 1992-93, Division of Policy and Program Development, Office of Postsecondary Education, U.S. Department of Education.

2. Institutional Agreement and Authorization Reports, 1983-84 to 1989-90, Division of Program Operations and Systems, Office of Postsecondary Education, U.S. Department of Education.

3. Pell Grant End-of-Year Reports, 1983-84 to 1992-93, Division of Policy and Program Development, Office of Postsecondary Education, U.S. Department of Education.

4. National Postsecondary Student Aid Study, 1990, National Center for Education Statistics, Office of Educational Research and Improvement, U.S. Department of Education.

5. Integrated Quality Control Measurement Project, Findings and Corrective Actions, (Washington, DC: Price Waterhouse, Inc., September 1990).

IV. PLANNED STUDIES

1. Repetition of the National Postsecondary Student Aid Study at three-year intervals.

2. End-of-Year Report and technical updates of the Pell computer model will be continued annually.

V. CONTACTS FOR FURTHER INFORMATION

Program Policy	:	Fred Sellers, (202) 708-4607
Program Analysis	:	Blanca Rosa Rodriguez, (202) 708-8963
Program Studies	:	Kathryn Larin, (202) 401-0182

FEDERAL FAMILY EDUCATION LOAN PROGRAM
(CFDA No. 84.032)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV-B, as amended by P.L. 103-66 (20 U.S.C. 1071-1087-2) (expires September 30, 1997).

Purpose: To help financially needy undergraduate and graduate students meet the costs of their education at participating postsecondary institutions by encouraging private lenders to provide federally subsidized and insured long-term loans to students and their parents.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$ 10,000,000	1986	$3,265,941,000
1970	74,726,000	1987	2,717,000,000
1975	580,000,000	1988	2,565,000,000
1980	1,609,344,000	1989	4,066,828,000
1981	2,535,470,000	1990	3,826,314,000
1982	3,073,846,000	1991	5,381,422,000
1983	3,100,500,000	1992	6,865,000,000
1984	2,256,500,000	1993	5,825,338,000
1985	3,799,823,000	1994	3,026,991,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting and Services

The Omnibus Budget Reconciliation Act of 1993 made major changes in the Federal Family Education Loan (FFEL) program that became effective during FY 1994. A major change in the structure of the program was the merge of the former Federal Supplemental Loans for Students Program into the unsubsidized component of the Federal Stafford Loan Program, and its elimination as a separate program. FFEL now includes four components: the Federal Stafford Loan program, the Federal Unsubsidized Stafford Loan program, the Federal PLUS program, and the Federal Consolidation Loan program. Subsidized Federal Stafford Loans provide Federal reinsurance and interest subsidies on loans for eligible undergraduate, graduate and professional students. Unsubsidized Stafford loans provide reinsurance on loans for graduate and professional students, as well as independent undergraduate students. PLUS loans provide Federal reinsurance on loans to parents of dependent undergraduate students to help them meet their dependent's cost of education. Consolidation loans allow a borrower to consolidate multiple student loans into a single loan during repayment.

FFELs are available to help students who attend participating postsecondary institutions and meet the applicable eligibility criteria. Students receiving a subsidized Stafford Loan must demonstrate financial need based on the cost of education and the ability of the student or the student's family to pay this cost. The calculation of need is based on a Congressionally specified formula that analyzes the financial data of the student and/or the student's family. Unsubsidized SLS and PLUS loans are not need based and may be used to offset the student or parent borrower's expected contributions towards the cost of education.

Participation: In FY 1993, the amount of loans guaranteed by the FFEL programs was $6.2 billion. The total number of loans was 5.8 million. This compares with FY 1982 loan volume of $6.2 billion and 2.8 million individual loans. Table 1 shows the loan amount and number of loans for four of the individual FFEL programs.

TABLE 1
NUMBER, VOLUME, AND PERCENT OF TOTAL FFELs BY PROGRAMS
FY 1993

	Number of Loans (in thousands)	Loan Volume (in millions)	Percent of Loan Volume
Stafford Loans	4,173	$12,456	69.7
Unsubsidized Stafford	425	1,015	5.7
SLS Loans	810	3,067	17.2
PLUS Loans	349	1,334	7.5
Total FFELs	5,757	17,872	100.1 1/

Source: III.1. (Based on loan commitments)

Distribution By Sector: Among undergraduate borrowers, the largest percentage of awards went to those attending four-year public institutions. Borrowers attending proprietary institutions received a somewhat lower percentage of loans as did those attending private, non-profit institutions. However, borrowers attending private institutions received the largest percentage of loan dollars because of higher costs and larger average loan amount.

Distribution By Dependency Status And Income Level: The percentage distribution of Stafford Loans by type of student and family income for the 1989-90 award year was as follows:

1/ Due to rounding.

- Among dependent undergraduates, about 53 percent of Stafford Loan recipients had family incomes of less than $30,000 and 47 percent had family incomes greater than $30,000.

- Independent undergraduates accounted for about 56 percent of the Stafford Loans and about 64 percent of the loan dollars.

- Average Stafford Loan awards did not vary much by income level except for independent students who had an average loan amount that was roughly $1100 more than that of dependent students.

Program Administration

Program Operations: The Federal Family Education Loan program makes below-market, variable-interest rate, long-term loans available to help students attending participating postsecondary schools. For FY 1993, the current interest rate for new Stafford and the unsubsidized Stafford Loan borrowers was the 91-day Treasury bill rate plus 3.1 percent, not to exceed nine percent. PLUS loan borrowers pay a variable annual interest rate tied to the 52-week Treasury bill rate plus 3.1 percentage points. Beginning July 1, 1994, Stafford loans were capped at 8.25 percent; PLUS was be capped at nine percent.

The program uses private loan capital supplied primarily by commercial lenders. Lenders receive interest subsidies and special allowance payments when applicable on eligible Stafford Loans to offset the below-market interest rate they charge for a Stafford Loan. Lenders do not receive interest benefits for unsubsidized Stafford or PLUS loans but may receive special allowance payments if the variable rate exceeds the applicable cap. Borrowers generally have a maximum of 10 years to repay an FFEL loan, but may receive periods of deferment or forbearance and income-sensitive or graduated-repayment options.

These loans are guaranteed by individual State or private, nonprofit guaranty agencies and are reinsured by the Federal government. Beginning with FY 1994, an administrative cost allowance (ACA) will be paid out of Direct Loan transition costs and will no longer be part of the FFEL account. Also, the reinsurance fees previously paid by guaranty agencies are eliminated.

Maximum Loan Limits: Under the Stafford Loan program, first-year undergraduate students may borrow up to $2,625 per year; second-year undergraduate students may borrow up to $3,500; third-, fourth-and fifth-year students may borrow up to $5,500; graduate or professional students may borrow up to $8,500 per year. The aggregate maximum borrowing limit for an undergraduate student in the Stafford Loan program is $23,000; graduate and professional students have an aggregate maximum borrowing limit of $65,500 which includes amounts borrowed as an undergraduate.

Under the PLUS Loan program, for loans disbursed prior to July 1, 1993, a parent may borrow an amount up to the cost of attendance. For PLUS loans in which the first disbursement is on or after July 1, 1993, the annual and aggregate loans limits have been eliminated. These loans may equal the cost of attendance less other financial aid.

For SLS loans disbursed on or after July 1, 1993, the limit is $4,000 for first or second year and $5,000 for each additional full academic year in the program. If the program remaining is less than a full year, students may borrow up to $3,325 if at least two-thirds of the year remains, and up to $1,675 if at least one third but less than two thirds of a year remains. For graduate or professional students the new limit is $10,000 per academic year with an aggregate limit of $73,000 including undergraduate SLS borrowing. This information for new loans disbursed as of July 1, 1993, is summarized in Table 2.

TABLE 2

ANNUAL AND MAXIMUM LOAN LIMITS BY PROGRAM
FOR NEW LOANS AS OF JULY 1, 1993

	First or Second Year Student	Third, Fourth, or Fifth Year Student	Total Program Debt Limit
Stafford Undergraduate	$2,625 (1st) 3,500 (2nd)	$5,500	$23,000
Stafford Graduate	$8,500	$8,500	$65,500
PLUS	Cost of attendance	Cost of attendance	Cost of attendance
SLS Undergraduate	$4,000	$5,000	$23,000
Graduate	$10,000	$10,000	$73,000

Source: III.1.

Student Loan Defaults: During FY 1993, the Department continued its initiative to reduce defaults. The major results of that initiative are shown below:

- historically, default costs have increased about ten fold since FY 1981, rising from $235 million to an estimated $2.6 billion in FY 1993.
- default costs represented a marked reduction from the $3.2 billion of defaults experienced in FY 1991.
- the Department of Education has increased collections on defaulted loans from $65 million in FY 1981 to an estimated $1.00 billion in FY 1993. Approximately $14.9 billion in defaulted FFELs was outstanding at the end of FY 1993.
- default rates vary by the type and control of institution attended. The FY 1993 cohort contains all borrowers who entered repayment status in FY 1992. The FY 1992 cohort default rate is the percentage of this cohort that defaulted in FY 1992 or FY 1993. The FY 1992 cohort rates, which are the most recent available, are:

Type and Control	Borrower Default Rate
Proprietary	30.2 %
Public 2-year	14.5
Private 2-year	14.3
Public 4-year	7.0
Private 4-year	6.4

Outcomes

Analyses from the National Postsecondary Student Aid Study (NPSAS), by the Department's Planning and Evaluation Service, show that:

- When the FY 1989 cohort default rate is used, 81 schools had default rates above 60 percent. In contrast, 3,428 schools (excluding foreign and unclassified) had default rates below 20 percent, accounting for 68 percent of the schools. These figures exclude those postsecondary institutions with fewer than 30 borrowers entering repayment status in FY 1989.
- During the 1989-90 award year, graduate and professional students received 12.2 percent of Federal Family Education Loans. However, because of their higher costs, this group of borrowers received 25.9 percent of FFEL dollars. The average loan for graduate borrowers was $6,858, compared with $3,232 for all borrowers in the FFEL program.

- defaulters were four times more likely than non-defaulters to begin their postsecondary education without a high school diploma. Of this group of defaulters, approximately 40 percent had not received a general educational development (GED) certificate.

- defaulters were more than twice as likely as non-defaulters to have dropped out of their postsecondary program.

- defaulters were more than twice as likely to be unemployed or underemployed (earning less than $10,000) than non- defaulters at the time when repayment was scheduled to begin.

- defaulters had fewer and smaller loans, which indicates that defaulters attended postsecondary institutions for shorter periods or went to relatively inexpensive institutions. This statistic may be explained in part by the fact that a significantly larger percentage of defaulters than non-defaulters attended proprietary institutions with programs lasting no more than two years and usually less (III.2).

During FY 1991, the General Accounting Office addressed aspects of the Federal Family Education Loan Program.

In Stafford Student Loans: Millions of Dollars in Loans Awarded to Ineligible Borrowers, the GAO found that ED did not use the Stafford Loan tape dump to identify student loan defaulters who were trying to obtain new loans or determine whether borrowers had exceeded legal loan limits. Their analysis indicated that loan defaulters may have received $109 million in new loans and that students received millions of dollars in loans over the legal loan limits (III.3).

In Student Loans: Characteristics of Defaulted Borrowers in the Stafford Student Loan Program, the GAO identified nine defaulter characteristics most frequently cited in published studies of defaults. These are:

1. attended vocational/trade schools
2. had low incomes
3. had little financial support
4. had minority backgrounds
5. lacked high school diplomas
6. failed to complete education programs
7. attended school for one year or less
8. borrowed small amounts
9. were unemployed when defaulting.

Defaulter characteristics cannot be used to predict who will default. An often misunderstood fact about default is that while most defaulters have certain characteristics, the majority of borrowers with these characteristics do not default on their loans (III.4).

In Analysis of Factors Related to Default, Mathematica Policy Research, Inc., found three key results from their analyses of the 1986-1987 NPSAS study (III.6):

- **A borrower's ability to pay is a powerful determinant of default**. The likelihood of default is greater for borrowers whose incomes after leaving school are lower, whose monthly FEEL payments are higher, and who have more dependents.

- **Default rates differ significantly by level of educational attainment**. Borrowers who did not complete high school and borrowers who did not complete their postsecondary education programs were more likely to default. After adjustment for other factors, including post-school earnings, borrowers who had most recently attended proprietary or two-year schools were also more likely to default. Differences in (adjusted) default rates between borrowers attending proprietary or two-year schools and borrowers attending four-year schools are greater when the effect of school type on post-school earnings is taken into account.

- **Default rates differ significantly by the characteristics of borrowers**. Black and Hispanic borrowers were more likely to default, after income, education, and other individual characteristics were controlled for.

Management Improvement Strategies

The Omnibus Budget Reconciliation Act of 1993 incorporated numerous provisions that will enhance managment improvement strategies in the FFEL program. These include:

- authority to direct a guaranty agency to promptly assign defaulted loans when it is determined that such action will protect the Federal financial interest;

- the preservation and recovery of guaranty reserves by clarifying that they are the property of the United States. The Department has broad authority to preserve or recover such reserves where there has been misuse or improper expenditure of reserve funds. The Secretary also has the authority to require a guaranty agency to return any portion of an agency's reserve fund that the Secretary determines is unnecessary for paying the program expenses and contingent liabilities of the agency.

- authority to terminate a guaranty agency's reinsurance agreement if the Secretary determines that such action best protects the Federal fiscal interest.

- authority to make emergency advances to guaranty agencies to meet their immediate cash needs, including uninterrupted payment of claim to lenders, as well as to assist them in fulfilling their lender-of-last-resort obligations.

- a variety of revenue-sharing and risk-sharing provisions including loan fees from lenders and from Sallie Mae, reduced reinsurance payments to guaranty agencies, and a fee to be paid by States whose schools have default rates exceeding 20 percent.

The Department also published a booklet, Reducing Student Loan Defaults: A Plan for Action (III.5). The booklet describes the rising cost of defaults, which types of students default, and the most common reasons for default. It also contains recommendations on what steps can be taken by postsecondary institutions, lenders, guarantee agencies, accrediting agencies, States, and the Federal Government to reduce defaults. The booklet recommends that:

- schools counsel all students on their loan responsibilities, work closely with lenders to reduce defaults, improve the quality of their education, and establish good job placement programs;

- lenders communicate effectively with student borrowers during all phases of the loan process, use effective collection techniques, and carefully monitor organizations that service Federal Family Education Loans;

- state guaranty agencies monitor lenders and postsecondary institutions and help enforce program laws and regulations, help institutions in their default reduction efforts, help lenders collect repayments before loans default, and diligently pursue collections of loans that default (III.5).

As part of the Department's quality-control program, mandatory verification continued to be employed in FY 1993 to include, along with other Federal student aid programs, the FFEL program. Nationally, an overall average of 30 percent of all financial aid applications are selected for verification. Verification requires submission by students (and parents, if dependent) and review by institutions of documentation for key items in the student aid application form (such as tax forms and asset estimates). Verification and institutional documentation requirements reduce student misreporting in the program.

The Department is working on the implemention of the National Student Loan Data System. The System, when completed, will contain data on all FEEL borrowers and will allow ED to detect overpayments and ineligible borrowers before payments are made.

In 1990, the Department released a study entitled Integrated Quality Control Measurement Project. The study found that the overcertification rate attributable to institutional error in the Stafford Loan program is 6.0 percent of the dollars certified, while the overcertification rate attributable to student error is only 4.2 percent of total certification dollars (III.7).

III. SOURCES OF INFORMATION

1. Program files.
2. National Postsecondary Student Aid Study 1989-90 school year. Data Files. (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1991.)
3. Stafford Student Loans: Millions of Dollars in Loans Awarded to Ineligible Borrowers (Washington, DC: General Accounting Office, December 1990).
4. Student Loans: Characteristics of Defaulted Borrowers in the Stafford Student Loan Program (Washington, DC: General Accounting Office, April 1991).
5. Reducing Student Loan Defaults: A Plan for Action (Washington DC: U.S. Department of Education, August 1990).
6. Analysis of Factors Related to Default (Washington, DC: Mathematica Policy Research, Inc., April 1991).
7. Integrated Quality Control Measurement Project, Executive Summary (Washington, DC: Price Waterhouse, Inc., September 1990).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Gary Beanblossom, (202) 708-8242

Program Studies : Dan Morrissey, (202) 401-0182

FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT PROGRAM
(CFDA No. 84.007)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 2, as amended (20 U.S.C. 1070b to 1070b-3) (expires September 30, 1997).

Purpose: To help financially needy undergraduate students meet the costs of their education by providing supplemental grant assistance through participating postsecondary institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$ 58,000,000	1986	$394,762,000
1970	164,600,000	1987	412,500,000
1975	240,300,000	1988	408,415,000
1980	370,000,000	1989	437,972,000
1981	370,000,000	1990	458,650,000
1982	355,400,000	1991	520,155,000
1983	355,400,000	1992	577,000,000
1984	375,000,000	1993	585,300,000
1985	412,500,000	1994	583,407,000

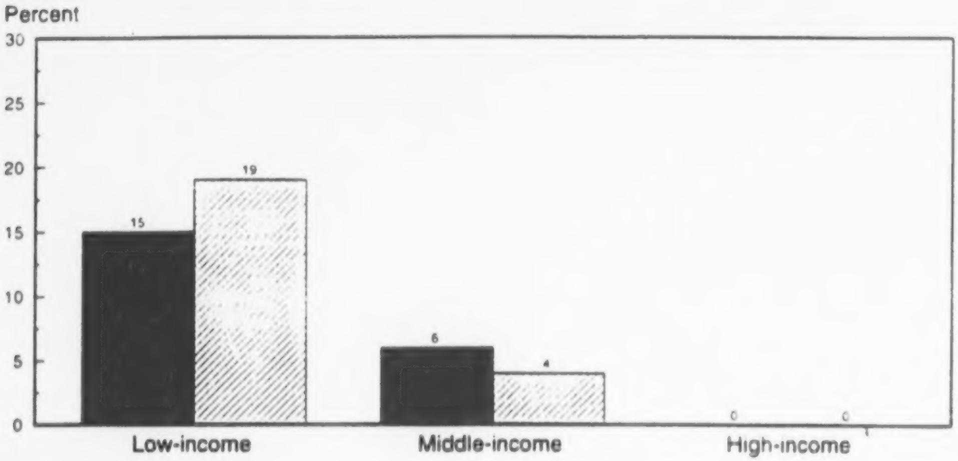
II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

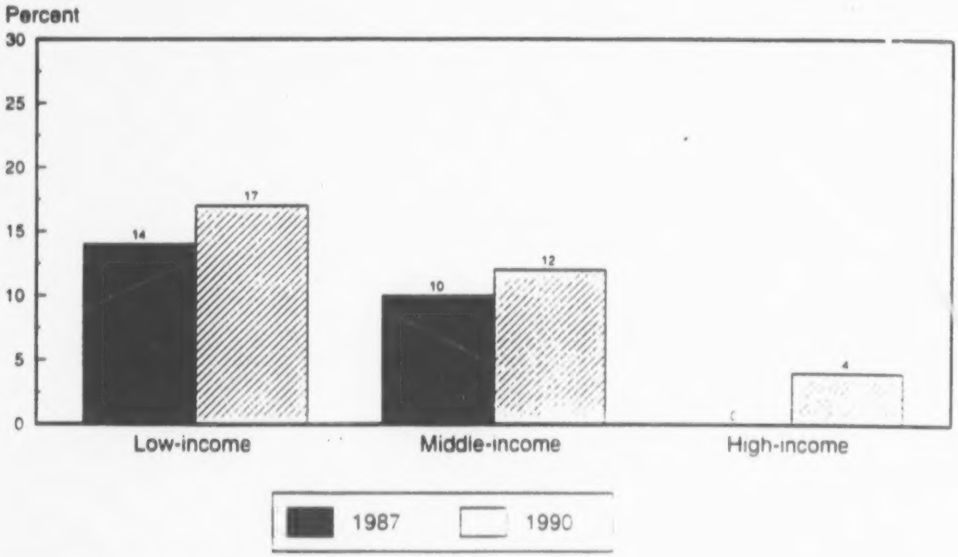
An important indicator of the Federal Supplemental Educational Opportunity Grant (FSEOG) Program's performance in assisting needy postsecondary students is the targeting of FSEOG awards. The following chart shows one measure of targeting: the percentage of dependent and independent postsecondary students who received FSEOG grants by income category. As shown, 19 percent of full-time low-income dependent students and 17 percent of full-time low-income independent students received FSEOG grants.in 1990, a greater percentage than those in the middle-or high-income categories. Among full-time independent students, a slightly larger percentage participated in the program in 1990 than in 1987 in all three income categories. Among full-time dependent students, there was a slight increase in the percentage of low-income students participating and a slight decrease in the percentage of middle-income students participating.

Percent of Postsecondary Students Receiving FSEOGs, by Dependency Status and Income: 1987 and 1990

Full-time Dependent



Full-time Independent



Source: III.2, III.3.

Population Targeting and Services

Federal Supplemental Educational Opportunity Grants (FSEOGs) are available to undergraduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an exam approved by the Secretary of Education). Students must also demonstrate financial need based on the cost of education and the ability of the student or student and family to pay this cost. The calculation of need is based on a Congressionally specified formula. Final award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid packaging philosophy.

The FSEOG program, along with the Federal Perkins Loan Program and the Federal Work-Study Program are collectively referred to as "Campus-Based Programs" because the institution determines which eligible students receive aid and how much they receive.

Participation: In the 1992-93 award year, the most recent year for which information is available, 976,385 students received FSEOG awards averaging $667. This is an increase in both the number of recipients and the recipients' average award from the 1991-92 award year, when 881,344 students received awards averaging $665.

Distribution By Sector: Table 1 shows the distribution of FSEOG funds across types of institutions between 1983-84, when these data were first collected, and 1992-93. Table 1 shows a slight decrease in the public share--49.8 percent in 1983-84 versus 46.5 percent in 1992-93--while the proprietary share has increased in the same time period (8.4 to 10.4 percent).

Institutional participation in the program has decreased slightly: in 1991-92, 4,530 institutions received program funds while 4,215 participated in 1992-93. Of the 4,215 institutions receiving funds, 35 percent were public, 32 percent were private non-profit, and 33 percent were proprietary (private for-profit) institutions (III.1).

Table 1

PERCENTAGE DISTRIBUTION OF FSEOG FUNDS TO STUDENTS BY TYPE OF INSTITUTION, AWARD YEARS 1983-84 to 1992-93

Award Year	Public	Nonprofit	Private Proprietary
1992-93	46.5	43.1	9.6
1991-92	46.3	43.0	10.7
1990-91	48.1	42.0	9.9
1989-90	48.2	40.3	11.5
1988-89	49.7	41.3	9.0
1987-88	48.4	41.4	10.2
1986-87	49.0	41.4	9.6
1985-86	48.5	41.9	9.6
1984-85	49.4	41.9	8.7
1983-84	49.8	41.8	8.4

SOURCE: III.1.

Distribution By Dependency Status: The composition of recipients has changed since 1983-84. Table 2 shows that since 1983, independent students have made up an increasing proportion of FSEOG recipients. By award year 1991-92, 54.5 percent of all recipients were independent students, compared to 30.1 percent in 1983-84.

Table 2

PERCENTAGE DISTRIBUTION OF FSEOG RECIPIENTS BY DEPENDENCY STATUS

1983-84 to 1992-93

Award Year	Dependent	Independent
1992-93	44.3	55.7
1991-92	45.5	54.5
1990-91	49.4	50.6
1989-90	51.7	48.3
1988-89	54.3	45.7
1987-88	60.6	39.4
1986-87	67.8	32.1
1985-86	68.1	31.8
1984-85	69.0	31.0
1983-84	69.9	30.1

SOURCE: III.1.

The data in Table 3 show that FSEOG awards tend to be larger for dependent students than independent students. Dependent students accounted for 44.3 percent of all recipients but received 55.7 percent of FSEOG funds distributed during the 1992-93 academic year.

Distribution by Income: Table 4 shows the distribution of awards by family income for dependent undergraduate students. Students from families with income less than $30,000 (approximate median family income) made up 77.2 percent of all dependent undergraduate recipients and received 75.9 percent of FSEOG funds awarded to dependent students during the 1992-93 award year. Across income groups, however, average awards increased with the level of family income, probably because students from higher-income families are more likely to attend higher-cost institutions. Given the formulas used to determine need, low-income students may not be eligible for higher awards even though they have lower expected family contributions, because they may attend lower-cost schools and receive higher Pell Grant awards. Both factors may act to reduce their need relative to that of higher-income students.

Table 3

DISTRIBUTION OF FSEOG AWARDS BY DEPENDENCY STATUS FOR ALL STUDENTS 1992-93 AWARD YEAR UNDERGRADUATE

	Dependent	Independent	All Students
Percent Distribution of Recipients	44.3	55.7	100.0
Percent Distribution of Aid	54.5	45.5	100.0
Average Award $	834	534	665

Source: III.1.

Table 4

DISTRIBUTION OF FSEOG AWARDS BY FAMILY INCOME FOR DEPENDENT STUDENTS 1992-1993 AWARD YEAR UNDERGRADUATE

Dependent Undergraduate Students							
	Under $6,000	$6,000-$11,999	$12,000-$17,999	$18,000-$23,999	$24,000-$29,999	$30,000+	
Percent Distribution of Recipients	12.5	16.6	17.7	16.9	13.5	22.8	100.0
Percent Distribution of Aid	11.3	15.5	17.7	17.4	14.0	24.1	100.0
Average Award $	749	778	833	861	870	881	834

Source: III.1

Program Administration

Student eligibility for an FSEOG award is determined by a statutory formula. The student's need is used in determining the size of the award.

Through 1991-92, FSEOG awards were funded entirely by the Federal Government. Beginning in the 1991-92 award year, FSEOG awards are a combination of Federal and institutional contributions. For award year 1993-94 and subsequent years, the minimum institutional contribution is 25 percent. The institutional share may be waived under certain circumstances.

The disbursement of FSEOG awards is a two-step process. First, the Department of Education allocates funds to eligible postsecondary institutions according to a formula that incorporates a guaranteed minimum based on the institution's FSEOG expenditures in the 1985-86 award year, and increases based on a measure of institutional need. Second, institutions award these funds to eligible students, with first priority given to students with exceptional need who also receive Pell Grants.

After award of FSEOG funds to all eligible Pell Grant recipients (in order of lowest family contribution), FSEOG funds are awarded to non-Pell Grant recipients with the lowest family contribution.

The maximum award for an academic year is $4,000 and the minimum award for a full academic year is $100.

Outcomes

Analyses of data from the most recent National Postsecondary Student Aid Study (III.2.) by the Department's Planning and Evaluation Service, presented in Table 5, show that:

- Overall, 4.6 percent of all postsecondary students received FSEOG awards. The percentage of students receiving awards varies with the type of institution attended, ranging from 2 percent at 2-year public institutions to 9 percent at private and proprietary institutions.
- The FSEOG program is strongly targeted at lower-income students. For students from families with incomes less than $10,000, 17.5 percent of full-time dependent students received awards and 25 percent of those enrolled in private institutions received awards. Only 2.1 percent of full-time dependent students with family incomes at $30,000 and above received awards.
- FSEOG awards are rarely given to part-time students, with only 1.3 percent of part-time students receiving FSEOG awards.

Table 5

PERCENTAGE OF STUDENTS PARTICIPATING IN THE FSEOG PROGRAM

1989-90 AWARD YEAR

	All	Type of Institution				Status	
		2 - Yr Public	4 - Yr Public	Private	Prop.	Full-Time	Part-Time
All	4.6	2.0	5.0	8.9	9.0	7.5	1.3
Dependent	4.8	1.2	4.3	10.0	8.5	6.2	0.8
Income	14.0	4.8	15.4	25.0	12.1	17.5	3.6
Under $10,000							
$10,000-29,000	8.2	1.6	8.5	18.9	11.9	11.0	1.0
$30,000 & Over	1.5	0.3	1.1	4.0	3.0	2.1	0.1
Independent	4.6	2.3	6.4	7.0	9.4	10.2	1.5
Income	8.6	4.9	10.2	13.6	11.8	12.4	3.6
Under $10,000							
$10,000 & Over	2.5	1.4	3.6	3.7	6.2	7.4	0.9

Source: III.2.

NOTE: A percentage of participation is for each grouping of students that is described by the intersecting row and column descriptors (e.g., 15.4 perent of Dependents with income under $10,000 attending 4-year Public Institutions received FSEOG awards).

Management Improvement Strategies

As part of the Department's quality-control program, mandatory verification continued in FY 1993 to include, along with other Federal student aid programs, the FSEOG program. Nationally, approximately 30 percent of all financial aid applications are selected for verification. Each year, the Department requires that institutions verify those financial aid applications that have been selected for verification. Students (and parents, if dependent) are required to submit documentation for key items in the student aid application form (such as tax forms and asset estimates) for review by institutions. Verification and institutional documentation requirements reduce student misreporting in the program.

III. SOURCES OF INFORMATION

1. Fiscal Operations Report 1992-93, unpublished tables from Campus-Based Programs Branch, Analysis Section, Office of Student Financial Assistance, U.S. Department of Education.

2. National Postsecondary Student Aid Study, (Washington, DC: U.S. Department of Eduction, National Center for Education Statistics, 1987.

IV. PLANNED STUDIES

The National Postsecondary Student Aid Study for school year 1991-92 will be available in FY 1994. The study is repeated at three-year intervals.

V. CONTACTS FOR FURTHER INFORMATION

Program Policy : Harold McCullough, (202) 708-4690

Program Analysis : Blanca Rosa Rodriquez. (202) 708-8963

Program Studies : Steven Zwillinger, (202) 401-0182

FEDERAL PERKINS LOAN PROGRAM
(CFDA No. 84.038)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part E, as amended (20 U.S.C. 1087aa-1087hh) (expires September 30, 1997).

Purpose: To help financially needy undergraduate and graduate students meet the costs of education by providing low-interest, long-term loans through postsecondary education institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1959	$ 39,883,000	1985	$ 161,060,000
1960	40,393,000	1986	181,830,000
1965	145,000,000	1987	188,000,000
1970	188,785,000	1988	185,736,000
1975	321,000,000	1989	183,507,000
1980	286,000,000	1990	135,129,000
1981	186,000,000	1991	156,142,000
1982	178,560,000	1992	156,000,000
1983	178,560,000	1993	168,600,000
1984	161,060,000	1994	173,000,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

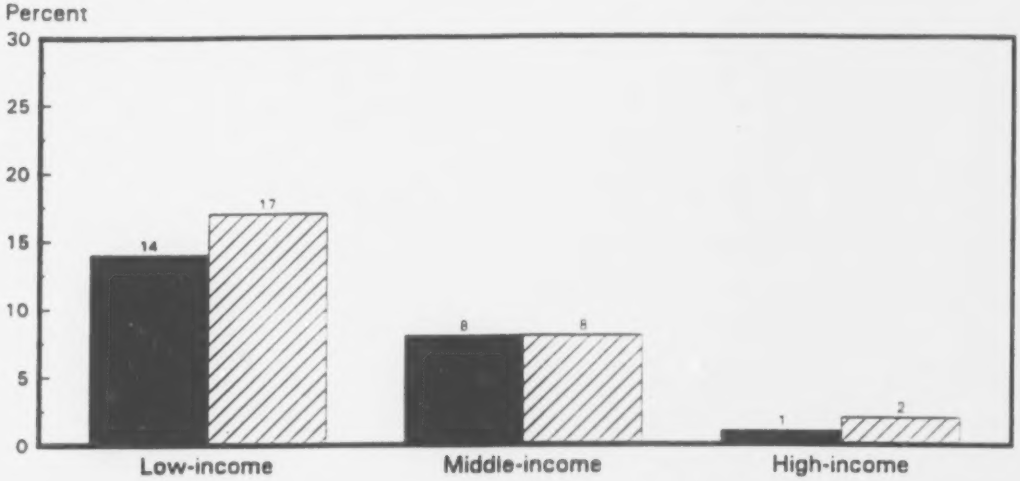
An important indicator of the Perkins Loan Program's performance in assisting needy postsecondary students is the targeting of Perkins Loan funds. Table 1 shows one measure of targeting: the percentage of dependent and independent postsecondary students who received Perkins Loans by income category.1/ As shown in the top panel, 17 percent of dependent low-income students received Perkins Loans in 1990, a significantly greater

1/ Income categories are defined by income quartiles: low-income students fall in the lowest quartile of the income distribution, high-income students fall in the top quartile, and middle-income students fall in the middle two quartiles of the income distribution.

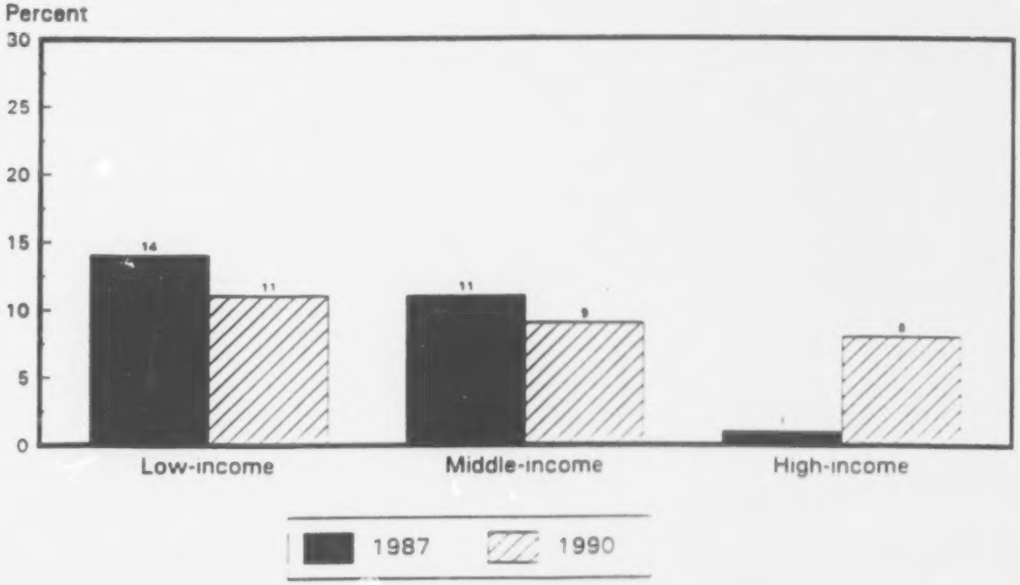
Table 1

Percent of Postsecondary Students Receiving Perkins Loans, by Dependency Status and Income: 1987 and 1990

Full-time Dependent



Full-time Independent



Source: National Postsecondary Student Aid Study, 1987 and 1990.

percentage than in the high-or middle-income categories. Further, while the percentage of middle-income and high-income students receiving Perkins Loans remained steady between 1987 and 1990, the percentage of low-income recipients increased over the period. Among independent students, the picture is slightly different. As shown in the bottom panel, a higher percentage of low-income independent students received Perkins Loans in 1990 than did middle-and higher-income students. However, the percentage of low-and middle-income students receiving Perkins Loans fell between 1987 and 1990, while it rose significantly among high-income independent students.

Population Targeting and Services

The Federal Perkins Loans are available to undergraduate and graduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an examination approved by the Secretary of Education). Applicants must demonstrate financial need based on the cost of education and the ability of the student and/or the student's family to pay this cost. The calculation of need is based on a Congressionally specified formula. Final eligibility and award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid-packaging policy.

The Federal Perkins Loan Program, with the Federal Supplemental Educational Opportunity Grant Program and the Federal Work-Study Program are collectively referred to as "Campus-Based Programs" because the institution determines which eligible students receive awards and how much they receive.

Participation: In the 1992-93 award year, the most recent year for which student information is available, 668,771 students received Federal Perkins Loans which averaged $1,333. The total amount lent was $868 million--an amount over five times greater than the appropriation. The Federal Perkins Loan funds go into a revolving fund. Loan repayments (and interest) are used to make new loans. In 1992-93, the amount of Federal Perkins loans received by students increased over the previous year when 654,214 students received Federal Perkins loans averaging $1,326 per loan.

Distribution by Sector: Institutional participation in the program has decreased slightly: In 1992-93, 2,565 institutions received program funds, while 2,826 participated in 1991-92. Of the 2,565 institutions receiving funds, 808 were public, 1,105 were private non-profit and 652 were proprietary (private for-profit) institutions (III.1).

Table 2 displays the distribution of Federal Perkins Loan funding by type of institution since 1983-84, when these data were first collected.

- The distribution of program funds across different sectors of postsecondary education has remained fairly stable over time.

- Public and private nonprofit and proprietary schools received 49.7, 44.1, and 5.6 percent of program funds, respectively, for 1992-93.

Table 2

PERCENTAGE DISTRIBUTION OF FEDERAL PERKINS LOANS TO STUDENTS BY CONTROL OF INSTITUTION AWARD YEARS 1983-84 to 1992-93

Award Year	Public	Private	Proprietary
1992-93	49.7	44.7	5.6
1991-92	50.1	44.1	5.8
1990-91	50.7	43.5	5.8
1989-90	47.8	46.6	5.6
1988-89	49.4	45.3	5.3
1987-88	48.9	45.0	6.1
1986-87	49.2	44.1	6.7
1985-86	48.9	44.7	6.4
1984-85	49.9	43.8	6.2
1983-84	49.7	43.5	6.8

SOURCE: III.1.

Distribution by Dependency Status and Educational Level: Table 3 shows the distribution of Federal Perkins Loans by students' dependency status and level of education. In 1992-93, dependent and independent undergraduate students and graduate students comprised 57.5, 29.4, and 13.1 percent, respectively, of all Federal Perkins Loans during that year. The percentage of Federal Perkins Loans received by graduate students has decreased since 1988-89.

Table 3

PERCENTAGE DISTRIBUTION OF FEDERAL PERKINS LOANS TO STUDENTS BY DEPENDENCY STATUS AND LEVEL OF EDUCATION2/ AWARD YEARS 1983-84 to 1992-93

Award Year	Undergraduates Dependent	Undergraduates Independent	Graduate Students
1992-93	57.5	29.4	13.1
1991-92	57.5	29.7	12.9
1990-91	57.8	29.4	12.9
1989-90	53.0	27.4	19.6
1988-89	52.8	27.0	20.2
1987-88	56.3	25.0	18.7
1986-87	56.2	26.3	17.4
1985-86	56.6	25.4	18.0
1984-85	57.1	25.0	17.8
1983-84	58.3	24.3	17.4

2\ Numbers may not add to 100.0 due to rounding.

SOURCE: III.1.

Distribution by Income: Tables 4 and 5 show the percentage distribution of Federal Perkins.. Loans in 1989-90 by the dependency status of the student and level of family income:

- Over 50 percent of dependent Perkins Loan recipients have family incomes of at least $30,000.
- Independent undergraduates and graduate students account for 29.4 percent and 13.1 percent of all Federal Perkins Loan recipients, respectively.
- Average awards do not vary much by income level. Graduate students, however, have a much higher average loan amount than undergraduate students, probably because of their higher costs and their independent status.

Table 4

PERCENT DISTRIBUTION OF FEDERAL PERKINS AWARDS BY DEPENDENCY STATUS FOR ALL STUDENTS 1992-93 AWARD YEAR

	Dependent	Independent	Graduate Students	All Students
Percent Distribution of Recipients	57.5	29.4	13.1	100.0
Percent Distribution of Aid	53.8	26.3	19.9	100.0
Average Award $	1,248	1,191	2,025	1,333

Source III.1.

Table 5

PERCENT DISTRIBUTION OF FEDERAL PERKINS AWARDS BY FAMILY INCOME FOR DEPENDENT STUDENTS 1992-93 AWARD YEAR

	Dependent Students						
	Under $6,000	$6,000-$11,999	$12,000-$17,999	$18,000-$23,999	$24,000-$29,000	$30,000 +	Total
Percent Distribution of Recipients	5.5	7.6	10.3	12.8	13.0	50.8	100.0
Percent Distribution of Aid	5.5	7.6	10.4	12.9	13.1	50.5	100.0
Average Award $	1,248	1,242	1,256	1,261	1,262	1,241	1,248

Source: III.1

Program Administration

The Department of Education allocates funds to support Federal Perkins Loans to postsecondary education institutions based on the amount the institution expended in the 1985-86 award year, less a default penalty, plus an increase based on the school's fair share of the total appropriation for the current year. Institutions then distribute these funds to eligible students according to their own aid-packaging policy. The Federal Perkins Loans are a combination of Federal and institutional capital contributions. The institutional capital contribution must equal at least three-tenths of the Federal capital contribution.

To receive a Federal Perkins Loan, students must meet certain categorical eligibility criteria and demonstrate financial need (the cost of their attendance must exceed their expected family contribution, Pell Grant, and other financial aid received). Institutions determine the distribution of loans among eligible applicants and must give priority to those with exceptional financial need.

Beginning with the 1993-94 award year, the maximum annual loan limit is $3,000 for an undergraduate and $5,000 for a graduate or professional student, with aggregate limits of $15,000 and $30,000 respectively. These represent an increase over the prior aggregate limits of $9,000 for undergraduate students and $18,000 for undergraduate and graduate students combined. For borrowers attending an institution participating in the Expanding Lending Option (institutions with default rates less than 7.5 percent and which match the Federal Capital Contribution dollar for dollar), the maximum annual loan limit is $4,000 for an undergraduate and $6,000 for a graduate or professional student with aggregate limits of $20,000 and $40,000, respectively.

Borrowers do not pay any interest while in school and during the grace period, but pay a 5 percent annual rate of interest while the loan is in repayment.

Loans can be canceled (forgiven) for statutory reasons such as loans to borrowers serving in the military or teaching low-income or handicapped children.

Table 6

FEDERAL PERKINS LOAN PROGRAM CUMULATIVE TEACHER/MILITARY CANCELLATIONS AS OF JUNE 30, 1993

	Cost of Principal and Interest on			
	Loans Issued Before 1972	Loans Issued After 1972		
	Teacher and Military	Teacher	Military	Total
Public 2 Year	$5,492,290	$2,809,807	$19,996	$2,829,803
Public 4 Year	294,141,343	169,938,607	83,164	170,021,177
Private 2 Year	970,628	344,381	18,188	362,569
Private 4 Year	213,260,311	99,022,656	211,113	99,233,769
Proprietary	280,556	224,215	12,679	236,894
Total	$514,145,128	$272,339,666	$345,140	$272,684,212
Institutions	1,803	1,978	275	

SOURCE: III.3.

Outcomes

At the end of FY 1990, Federal Perkins Loan funds at postsecondary institutions had a current value of $5.60 billion and cumulative defaults held by institutions totaled $737 million. Also, $747 million in defaulted loans had been assigned to the Department for collection. This figure excludes information from schools that no longer participate in the program. Loans assigned to ED are excluded from institutional default calculations (III.1).

The Federal Perkins program is set up as a revolving fund: borrowers' payments replenish the school's loan funds, making capital available for loans to other students. The GAO found that 87 percent of participating institutions had operating expenses and losses, including loan cancellations (forgiveness), that exceeded their Perkins funds' income (III.3.). GAO found that, through June 1989, cumulative operating costs (including cancellations and defaults) exceeded income by about $1.05 billion. Federal and school capital contributions have been used, in part, to make up for operating losses as well as to increase funds available for loans.

Analyses from the National Postsecondary Student Aid Study, by the Department's Planning and Evaluation Service, presented in Table 7, found that:

- 4.3 percent of all postsecondary students received Federal Perkins Loans and 7.4 percent of full-time students did so. The percent of student participation in the program varies by income and institution type. Participation is highest, almost 22 percent, among dependent students with income between $10,000 and $30,000 attending private institutions. Almost 10 percent of all students attending private institutions received Federal Perkins Loans. Less than 1 percent of students enrolled in 2-year public institutions received Federal Perkins Loans.

- A larger percentage of full-time graduate students (9.9 percent) received Federal Perkins loans than the percentage of full-time undergraduate students (7.2 percent).

- Less than 1 percent of part-time students received Federal Perkins Loans.

Table 7

PERCENTAGE OF STUDENTS PARTICIPATING IN THE PERKINS LOAN PROGRAM3/

1989-90 AWARD YEAR

	All	Type of Institution				Status	
		2 - Yr Public	4 - Yr Public	Private	Prop.	Full-Time	Part-Time
All	4.3	0.7	5.2	9.3	5.6	7.4	0.8
Graduate	4.5	NA	3.4	6.2	2.2	9.9	0.7
Undergraduate	4.3	0.7	5.7	10.3	5.6	7.2	0.8
Dependent4/	5.6	0.7	5.4	13.0	7.4	7.3	1.1
Income	10.6	1.8	13.0	19.8	8.1	13.0	4.0
Under $10,000							
$10,000-29,000	9.0	0.8	10.3	21.8	10.3	12.1	1.3
$30,000 & Over	3.3	0.4	2.5	8.7	4.4	4.3	0.4
Independent	3.0	0.8	6.3	5.8	4.9	7.0	0.8
Income	5.2	1.2	9.8	10.1	5.0	7.8	1.6
Under $10,000							
$10,000 & Over	1.9	0.6	3.8	3.7	4.8	6.1	0.5

3/A percentage of participation is for each grouping of students described by the intersecting row and column descriptors (e.g., 3.4% of graduate students attending a 4-year public institution).

4/Undergraduates only

Source: III.2

The institutional default rate is calculated by dividing the principal amount outstanding on loans in default by the principal amount of all loans that have entered repayment status. This rate excludes those loans which were assigned to the Department of Education. Loans which have not yet entered into repayment status are those in student status and first grace period. Default rate by institutional type is shown in Table 8.

Table 8

SECTOR DISTRIBUTION OF FEDERAL PERKINS COHORT DEFAULT RATE AS OF JUNE 30, 1993

	(A) Borrowers who Entered Repayment Status in 1991-92	Borrower from (A) in Default on June 30, 1993	Cohort Default Rate	Borrowers in Default More Than 240 Days	Principal Outstanding on Loans in Default More Than 240 Days
Private 2 Year	6,144	$ 2,790	45.41	14,086	$ 11,571,254
Private 4 Year	144,840	26,622	18.38	185,377	281,739,144
Proprietary	38,805	25,180	64.89	86,604	87,750,945
Public 2 Year	25,823	12,260	47.48	47,180	36,427,024
Public 4 Year	185,733	19,829	10.68	236,011	305,743,603
Total	401,345	86,681	21.60	569,258	$723,231,970

SOURCE: III.1.

Beginning in award year 1992-93, the Federal Perkins default rate will be calculated for cohorts instead of cumulatively.

Management Improvement Strategies

As part of the Department's quality-control program, mandatory verification continued in FY 1993 to include, along with other Federal student aid programs, the Federal Perkins Loan program. Nationally, approximately 30 percent of all financial aid applications are selected for verification. Each year, the Department requires that institutions verify those financial aid applications that have been selected for verification. Students (and parents, if dependent) are required to submit documentation for key items in the student aid application form (such as tax forms and asset estimates) for review by institutions. Verification and institutional documentation requirements reduce student misreporting in the program.

III. SOURCES OF INFORMATION

1. Fiscal Operations Report 1992-93, unpublished tables from Campus-Based Programs Branch, Analysis Section, Office of Student Financial Assistance, U.S. Department of Education.

2. National Postsecondary Student Aid Study. (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1990).

3. Perkins Student Loans: Options That Could make the Program More Financially Independent (Washington, DC: U.S. General Accounting Office, December 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Policy : Susan Morgan, (202) 708-8242

Program Analysis : Blanca Rosa Rodriquez (202) 708-8963

Program Studies : Steve Zwillinger, (202) 401-0182

FEDERAL WORK-STUDY PROGRAM
(CFDA No. 84.033)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part C, as amended (42 U.S.C. 2751-2756a) (expires September 30, 1997).

Purpose: To help financially needy undergraduate and graduate students to meet the costs of their education at participating postsecondary institutions by helping institutions to provide on-and off-campus part-time employment for students. The funds appropriated pay a portion of the students' salaries in Federal Work-Study jobs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$ 55,710,000	1986	$567,023,000
1970	152,460,000	1987	592,500,000
1975	420,000,000	1988	588,249,000
1980	550,000,000	1989	610,097,000
1981	550,000,000	1990	601,765,000
1982	528,000,000	1991	594,689,000
1983	590,000,000	1992	615,000,000
1984	555,000,000	1993	616,508,000
1985	592,500,000	1994	616,508,000

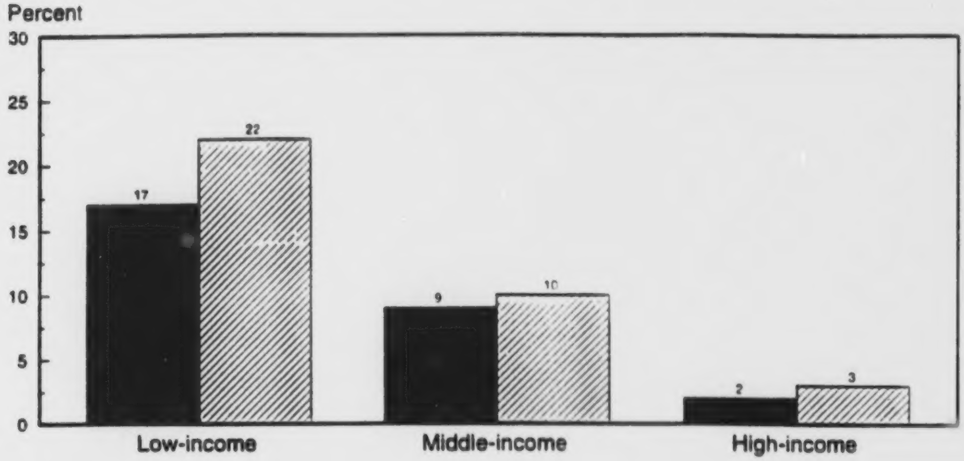
II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

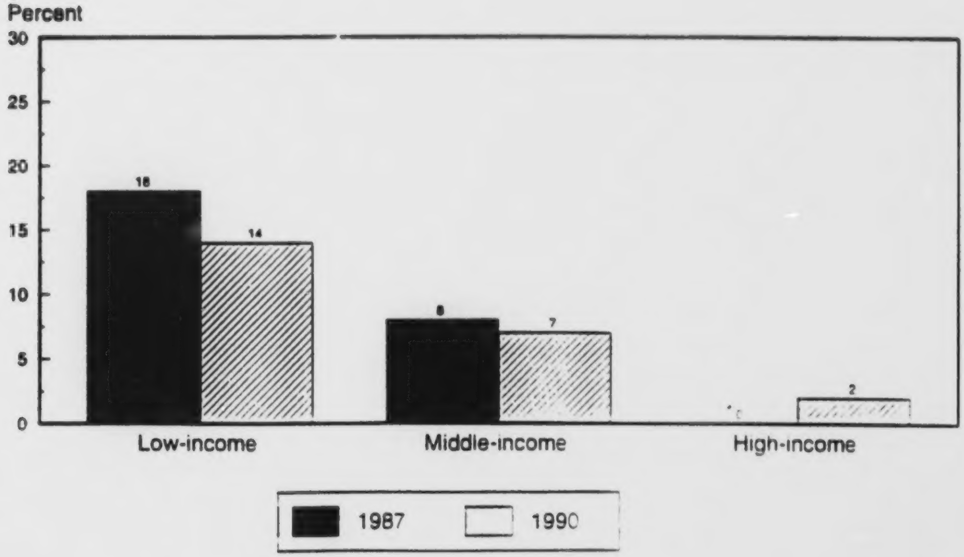
An important indicator of how well the Federal Work Study's Program is assisting needy postsecondary students is the targeting of Federal Work Study (FWS) awards. The following chart shows one measure of targeting: the percentage of full-time dependent and independent postsecondary students who received FWS awards by income category. As shown, 22 percent of dependent low-income students and 14 percent of independent low-income students received FWS awards in 1990, a far greater percentage than in the middle- or high-income categories. Among dependent students, a slightly larger percentage benefitted from the program in 1990 than in 1987 in all income categories. There was a slight decline in the percentage of independent low- and middle-income students, while among high-income independent students, the percentage receiving awards increased.

Percent of Postsecondary Students Receiving College Work Study, by Dependency Status and Income: 1987 and 1990

Full-time Dependent



Full-time Independent



Source: III.2, III.5.

Population Targeting and Services

Federal Work-Study jobs are available to undergraduate and graduate students who attend participating postsecondary institutions and meet certain other criteria (e.g., have a high school diploma or its equivalent or have passed an exam approved by the Secretary of Education.) Students must also demonstrate financial need based on the cost of education and the ability of the student and they family to pay this cost. The calculation of need is based on a Congressionally specified formula. Final eligibility and award amounts are determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid-packaging policy.

The FWS program, with the Federal Supplemental Educational Opportunity Grant Program and the Federal Perkins Loan Program, are collectively referred to as "Campus-Based Programs" because the institution determines which eligible students receive awards and how much they receive.

Participation: According to program data, 714,440 students received FWS awards averaging $1,092 in the 1992-93 award year (the most recent year for which data are available). This is an increase from the previous year when 697,304 students received awards averaging $1,090.

Distribution by Sector: Institutional participation in the program has decreased slightly: in 1992-93, a total of 3,620 institutions received program funds while 3,819 participated in 1991-92.

Table 1 shows the distribution of FWS funds by type of institution between 1992-93 and 1983-84, when these data were first collected. The percentage of funds going to public, private nonprofit, and proprietary institutions has changed only slightly throughout this period, with public institutions receiving slightly more than half of all funds disbursed in 1992-93 (approximately 53 percent), private nonprofit institutions receiving the next largest share (approximately 44 percent), and proprietary institutions receiving a very small portion of funds (approximately 2 percent).

Table 1

PERCENTAGE DISTRIBUTION OF FWS DOLLARS EARNED BY TYPE OF INSTITUTION AWARD YEARS 1983-84 to 1992-93

Award Year	Public	Private Nonprofit	Proprietary
1992-93	53.4	44.4	2.2
1991-92	52.4	45.5	2.1
1990-91	52.8	45.0	2.2
1989-90	54.5	43.1	2.4
1988-89	54.4	43.3	2.3
1987-88	54.9	42.6	2.5
1986-87	56.3	42.0	1.8
1985-86	55.8	42.8	1.4
1984-85	56.6	42.1	1.3
1983-84	56.6	41.9	1.6

SOURCE: III. 1.

Distribution by Dependency Status and Educational Level: During the mid-1980s, increasing shares of program funds were awarded to dependent undergraduates, while the portion of funds going to graduate students was decreasing. These trends appear to have stabilized in the past few years (Table 2). In 1992-93, undergraduates received approximately 90 percent of all FWS funds, and nearly 63 percent of funds awarded to undergraduates were awarded to dependent students.

Table 2

PERCENTAGE DISTRIBUTION OF FWS DOLLARS EARNED BY UNDERGRADUATES BY DEPENDENCY STATUS AWARD YEARS 1983-84 to 1992-93

Award Year	Dependent	Independent
1992-93	62.7	27.3
1991-92	68.7	26.6
1990-91	69.7	25.4
1989-90	69.6	25.7
1988-89	69.8	25.6
1987-88	71.3	24.2
1986-87	64.5	26.8
1985-86	63.8	25.9
1984-85	64.1	25.8
1983-84	64.7	25.2

SOURCE: III.1.

Distribution by Income: The percentages of recipients, total aid, and average awards vary by type of student and level of family income (see Tables 3 and 4.) In 1991-92, the average award for dependent undergraduates was $1,001 while the average award for independent undergraduates was 14.1% larger ($1,155). Graduate students received the largest awards, however, with an average amount ($2,000) almost double that of undergraduate students. Due to large award sizes, graduate students receive a disproportionate share of FWS funds. Although they constituted only 4.8 percent of all recipients, graduate students received 9.0 percent of all program funds.

For undergraduate students, the percentage of recipients across income levels closely mirrors the percentage of aid distributed across the same income levels. Among dependent students, approximately 55 percent of FWS recipients and dollars are awarded for families with income below $30,000 . The highest average award for undergraduates is for those students whose family income is between $24,000 and $30,000. The average award for family income $24,000 - $30,000 is $1,035; for family income $18,000 - $24,000 is $1,030; and for family income $12,000 - $18,000 is $1,024.

Table 3

PERCENT DISTRIBUTION OF FWS AWARDS BY DEPENDENCY AND GRADUATE STATUS FOR ALL STUDENTS -- 1992-93 AWARD YEAR

	Dependent Undergraduate	Independent Undergraduate	Graduate Students	All Students
Percent Distribution of Recipients	68.3	26.0	5.7	100.0
Percent Distribution of Aid	62.6	27.3	10.1	100.0
Average Award $	1,001	1,144	1,943	1,092

Source: III.1.

Table 4

PERCENT DISTRIBUTION OF FWS AWARDS BY FAMILY INCOME FOR UNDER GRADUATE DEPENDENT STUDENTS -- 1992-1993 AWARD YEAR

	Dependent Students						
	Under $6,000	$6,000-$11,999	$12,000-$17,999	$18,000-$23,999	$24,000-$29,999	$30,000 +	Total
Percent Distribution of Recipients	8.2	9.9	11.2	12.2	11.5	47.0	100.0
Percent Distribution of Aid	7.5	9.8	11.5	12.7	12.2	46.3	100.0
Average Award $	922	995	1,029	1,044	1,049	986	1001

Source: III.1.

BEST COPY AVAILABLE

Program Administration

Student eligibility for a FWS award is determined by a statutory formula and the student's need is used in determining the size of the award.

FWS awards are a combination of Federal and institutional contributions. The Federal contribution has changed over the past few years. In award year 1988-89, the Federal contribution could not exceed 80 percent; in 1989-90, the Federal share could not exceed 75 percent; and for award years 1990-91, 1991-92 and 1992-93 the Federal share of compensation paid to a student could not exceed 70 percent. For award years 1993-94 and following, the maximum Federal Share is 75 percent. The institutional contribution must usually equal 25 percent. The institutional share may be waived under certain conditions.

The disbursement of FWS awards is a two-step process. First, the Department of Education allocates funds to eligible postsecondary institutions according to a formula that incorporates a guaranteed minimum (based on institutional expenditures in the 1985-86 award year) and increases that reflect students' need. Second, institutions award these funds to eligible students according to their own financial aid packaging policies. Institutions determine which eligible students receive awards and how much they receive.

In addition to wages for students, institutions may use FWS funds for the following purposes:

1. Up to 25 percent of its FWS allocation for an award year can be transferred to the Federal Supplemental Educational Opportunity Grant program.

2. The lesser of 10 percent of its FWS allocation or $50,000 may be used to operate or expand the institution's Job Location and Development Program.

3. Administrative cost allowance may be taken if the institution provided employment to its students in that award year.

Outcomes

Analyses from the National Postsecondary Student Aid Study (III.2.), by the Department's Planning and Evaluation Service, presented in Table 5, found that:

- 4.5 percent of all postsecondary students and about 8 percent of all full-time students received FWS employment. The percentage of students participating in the program varies by school type. Less than 1 percent of proprietary students receive FWS while about 11 percent of students at private institutions do so.

- 7.2 percent of dependent undergraduates but only 2.7 percent of independent undergraduates receive FWS employment. Only 1.4 percent of independent undergraduates with family incomes over $10,000 receive aid .

- Almost a fifth (18.4 percent) of dependent undergraduate students at private institutions receive FWS employment. At these schools, about 28 percent of undergraduates with family incomes up to $30,000 receive FWS awards as compared to 13.2 percent of those with higher incomes.

- Less than 1 percent of part-time students received aid.

Table 5

PERCENTAGE OF STUDENTS PARTICIPATING IN THE FWS PROGRAM

1989-90 AWARD YEAR

	All	Type of Institution				Status	
		2 - Yr Public	4 - Yr Public	Private	Prop.	Full-Time	Part-Time
All	4.5	1.8	4 .6	11.1	0.9	7.9	0.7
Graduate	1.8	NA	1.1	3.1	2.2	4.2	0.3
Undergraduate	4.8	1.8	5.6	13.8	0.9	8.3	0.8
Dependent*	7.2	2.2	6.0	18.4	1.3	9.4	1.2
Income	14.3	6.4	15.6	28.5	2.2	17.3	5.6
Under $10,000							
$10,000- 29,000	10.9	3.2	11.4	28.2	1.4	14.6	1.1
$30,000 & Over	4.3	0.8	2.6	13.2	0.7	5.7	0.3
Independent*	2.7	1.6	4.8	5.9	0.8	6.4	0.7
Income	5.3	3.5	8.5	11.8	0.9	8.2	1.4
Under $10,000							
$10,000 & Over	1.4	0.9	2.2	3.0	0.6	4.3	0.5

* Undergraduates only

Source: III.2.

NOTE: A percentage of participation is for each grouping of students that is described by the intersecting row and column descriptors (e.g., 1.1% for graduate students attending 4-year Public Institutions).

In a 1990 review of research concerned with college work experience for students (II.4), four patterns appeared to emerge:

1. At least in the first years following graduation, students who worked during college earn more money;

2. There is a stronger positive correlation between working and performance in school when the job is more closely related to college courses;

3. Students who work do not get lower grades than non-workers.

Management Improvement Strategies

As part of the Department's quality-control program, mandatory verification continued to include the FWS program along with other Federal student aid programs. Nationally, approximately 30 percent of all financial aid applications are selected for verification. Each year, the Department requires that institutions verify those financial aid applications that have been selected for verification. Students (and parents, if dependent) are required to submit documentation for key items in the student aid application form (such as tax forms and asset estimates) for review by institutions. Verification and institutional documentation requirements reduce student misreporting in the program.

III. SOURCES OF INFORMATION

1. Fiscal Operations Report 1992-93, unpublished tables from Campus-Based Programs Branch, Analysis Section, Office of Student Financial Assistance, U.S. Department of Education.

2. National Postsecondary Student Aid Study (Washington, DC: U.S. Department of Education, National Center for Education Statistics, 1990).

3. Institutional Quality Control Project Flash Report Trend Analysis, (Washington, DC: Pelavin Associates, Inc., March 1992).

4. Work Experience for Students in High School and College (Berkeley, CA: National Center for Research in Vocational Education, Reprint Series, 1990)

5. National Postsecondary Student Aid Study (Washington, D.C.: U.S. Department of Education, National Center for Education Statistics, 1987).

IV. PLANNED STUDIES

The National Postsecondary Student Aid Study for school year 1992-93 will be available in FY 1994. The study is repeated at three-year intervals.

V. CONTACTS FOR FURTHER INFORMATION

Program Analysis: Blanca Rosa Rodriguez, (202) 708-8963

Program Policy : Harold McCullough, (202) 708-4690

Program Studies : Steven Zwillinger, (202) 401-0182

INCOME CONTINGENT LOAN DEMONSTRATION PROGRAM
(CFDA No. 84.226)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV-D, as amended (20 U.S.C. 1087a-1087e) (expires September 30, 1997).

Purpose: To demonstrate the feasibility of an unsubsidized student loan program with income contingent repayments. That is, the monthly payment due by the borrower for loan repayment was a function of the borrower's income. The size and number of payments varied by borrower.

Funding History

Fiscal Year	Appropriation*
1987	$5,000,000
1988	4,308,000
1989	4,940,000
1990	4,931,500
1991	4,880,000
1993	4,880,000
1993	0
1994	0

*The authority for the Income Contingent Loan (ICL) Program was repealed by the Higher Education Amendments of 1992. Institutions were given the authority to convert all outstanding ICL to Federal Perkins Loans. As of March 31, 1993, institutions were required to distribute any remaining ICL funds to the Campus-Based Programs.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting and Services

Income Contingent Loans were available to undergraduate students who were enrolled at least half-time at one of the10 postsecondary institutions participating in the ICL demonstration program and who met certain other criteria (e.g., had a high school diploma or its equivalent or demonstrated ability to benefit from the education). Priority was given to students who demonstrate financial need based on the cost of education and the ability of the student and/or the student's family to pay this cost. The calculation of need was based on a Congressionally specified formula applied to the financial data of the student and/or the student's family. If any ICL funds remained after financially needy students were offered these loans, other students were offered these loans. Final eligibility and award amounts were determined by the postsecondary institution based on the amount of funds available at the institution and the institution's aid-packaging policy.

The following 10 institutions received allocations ranging from $105,344 to $1,119,003 during FY 1992:

Abraham Baldwin Agricultural College
Brown University
Hampton University
Loyola University of Chicago
Marquette University
Metropolitan State College
Rochester Institute of Technology
Rutgers University
University of Missouri at Rolla
Wheeling College

Participating institutions had different packaging policies with respect to income-contingent loans.

Program Administration

ICLs were made directly by the institutions to the students. Loan repayments received by the institution went back into that institution's revolving fund to be made available for future aid. The maximum amount of an ICL varied according to the borrower's level in school. First-or second-year students could borrow a maximum of $2,500, third-year students could borrow a maximum of $3,500, and fourth- and fifth- year students could borrow a maximum of $4,500. The aggregate total a student may borrow through the ICL program is $17,500.

Outcomes

III. SOURCES OF INFORMATION

1. Program data.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Analysis:	Blanca Rosa Rodriguez, (202) 708-8963
Program Policy :	Harold McCullough (202) 708-4690
Program Studies :	Steven Zwillinger, (202) 401-0182

STATE STUDENT INCENTIVE GRANTS
(CFDA No. 84.069)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, enacted P.L. 92-318, as amended, P.L. 94-482, 95-43, 96-374, 99-498, 102-325, 103-208 (20 U.S.C. 1070c to 1070c-4) (expires September 30, 1997).

Purpose: To make incentive grants to States to assist in providing grant and work-study assistance to students attending postsecondary educational institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$19,000,000	1987	$76,000,000
1975	20,000,000	1988	72,762,000
1980	76,750,000	1989	71,889,000
1981	76,750,000	1990	59,181,000
1982	73,680,000	1991	63,530,000
1983	60,000,000	1992	72,000,000
1984	76,000,000	1993	72,429,000
1985	76,000,000	1994	72,429,000
1986	72,732,000		

II. PROGRAM INFORMATION AND ANALYSIS

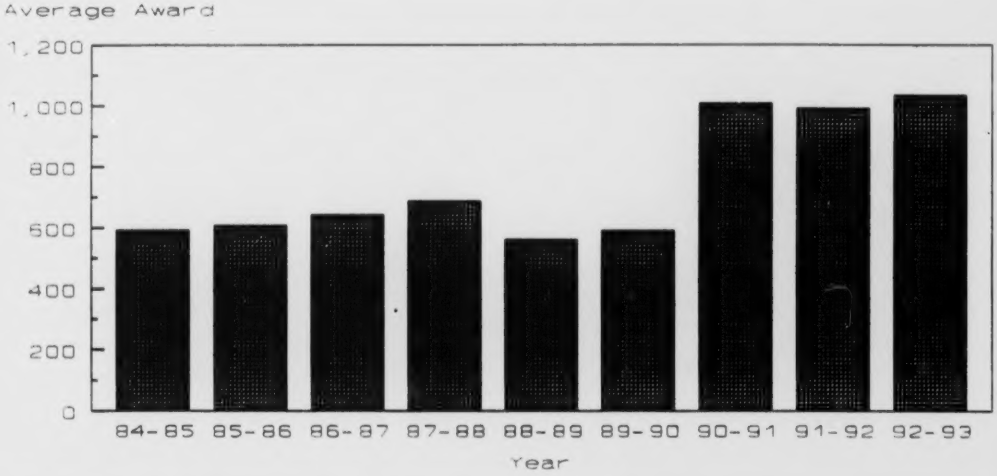
Population Targeting and Services

State Student Incentive Grant (SSIG) awards are available to full-time and part-time students attending postsecondary institutions at the undergraduate and graduate levels. Students must demonstrate substantial financial need based on formulas established by the States and approved by the Secretary of Education. All States make awards to full-time students and some also make awards to part-time students. Reporting of awards to part-time students has been discontinued and no data are available on the number of States exercising this option. In academic year 1991-92, nine States served graduate as well as undergraduate students.

Participation: In the 1992-93 academic year, SSIG Federal funds of $72 million, matched by $632.5 million in State funds for a total of $704.5 million, were distributed to 684,867 recipients, with awards averaging $1,035. Figure 1 shows the changes in average award over the past 8 years.

Figure 1

AVERAGE AWARD FOR SSIG RECIPIENTS
AWARD YEARS 1984-85 TO 1992-93



Some States provide much more than their required match, but it is difficult to identify the distribution of these funds before the 1990-91 award year when these data were first collected. Including SSIG and other non-SSIG State aid programs, the States distributed over $2.346 billion in aid grants in 1993-93, up from about $2.148 billion in the previous year.

Source: III.1.

Distribution By Sector: The distribution of program funds and of aid recipients across different sectors of postsecondary education has varied only slightly over the past nine years. As shown in Tables 1 and 2, public 4-year institutions account for 44 percent of the total dollars awarded and 43 percent of SSIG recipients in 1992-93. Private 4-year institutions have about half as many participants as public 4-year schools, but a roughly equal share of the dollars. As a result, awards at private schools are nearly twice the size of awards at public institutions, probably because private-school costs generally are higher than public-school costs.

TABLE 1

PERCENTAGE DISTRIBUTION OF SSIG FUNDS BY TYPE OF INSTITUTION
AWARD YEARS 1984-85 to 1992-93

Award Year	Four-Year Public	Four-Year Private Nonprofit	Two-Year Public & Private Nonprofit	Proprietary
1992-93	44.4	44.1	18.8	3.0
1991-92	40.5	40.2	15.8	3.1
1990-91	37.6	42.8	15.8	3.0
1989-90	44.3	38.8	14.4	2.5
1988-89	40.5	43.0	14.1	2.4
1987-88	42.1	43.4	12.8	1.7
1986-87	44.6	39.7	13.7	2.0
1985-86	43.5	39.6	14.6	2.3
1984-85	41.7	42.2	12.8	3.2

Source: III.1.

Note: Figures in Tables 1 and 2 may not add up to 100 percent due to rounding and due to the less than one percent of institutions that do not fall into the four types listed.

TABLE 2

PERCENTAGE DISTRIBUTION OF SSIG RECIPIENTS BY TYPE OF INSTITUTION AWARD YEARS 1984-85 to 1992-93

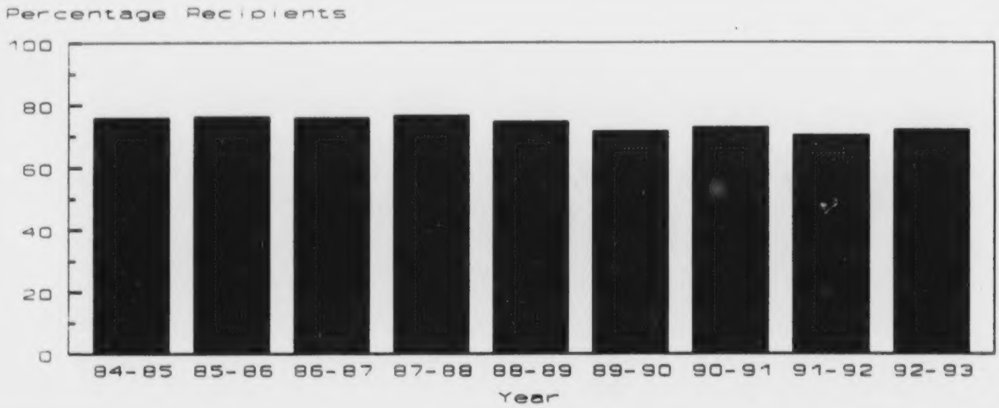
Award Year	Four-Year Public	Four-Year Private Nonprofit	Two-Year Public & Private Nonprofit	Proprietary
1992-93	43.0	26.0	26.7	3.0
1991-92	43.0	27.0	25.0	2.2
1990-91	42.6	28.7	24.5	3.1
1989-90	50.0	24.7	22.7	2.6
1988-89	49.9	24.7	23.0	2.4
1987-88	51.8	26.1	20.4	1.7
1986-87	51.9	26.9	18.4	2.8
1985-86	51.5	24.7	21.5	2.3
1984-85	51.8	26.8	18.6	2.8

Source: III.1.

Distribution by Income: SSIG awards go primarily to lower-income students. Figure 2 shows the percentage of SSIG recipients with family incomes below $20,000 per year (not adjusted for inflation) over an 8-year span. If real income levels were used, e.g., constant 1984-85 dollars, the figure would probably show an increase in the percentage of awards going to lower-income students over time.

Figure 2

PERCENTAGE OF SSIG RECIPIENTS WITH FAMILY INCOMES UNDER $20,000 PER YEAR



Source: III.1.

Program Administration

Each State designates an agency to be responsible for the administration of SSIG funds. The agency may be part of the State government, the State's education department, the organization managing other State grant or loan programs, or a designated corporation acting for the State. The agency receives Federal SSIG funds, matches them at least dollar for dollar with State funds, and distributes them to students (or to institutions for disbursement to students) eligible under the SSIG program.

States determine which institutions are eligible to participate in the SSIG program, although all public and private nonprofit institutions of higher education are eligible to participate unless specifically excluded in the State's constitution or by a State law enacted before October 1, 1978. In addition, 28 States provided SSIG funding for eligible students attending proprietary (private, for-profit) institutions.

BEST COPY AVAILABLE

Outcomes

Federal and State matching SSIG funds accounted for nearly 30 percent of all academic year 1992-93 State grant dollars awarded to students for postsecondary study.

Management Improvement Strategies

States are provided with checking procedures (edits) to review their data to assure accuracy. The Department reviews all State reports annually for the accuracy of application and performance data. In addition, the Department provides case-by-case assistance to the States regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Fred Sellers, (202) 708-4607

Program Studies : Kathryn Larin, (202) 401-0182

UPWARD BOUND
(CFDA No. 84.047)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, as amended, Title IV, Part A (20 U.S.C. 1070a-11 and 1070a-13) (expires September 30, 1997).

Purpose: To generate among low-income youths and potential first-generation college students enrolled in high school the skills and motivation necessary for success in education beyond high school. The goal of the program is to increase the academic performance and motivation of eligible participants so that they may complete secondary school and successfully pursue postsecondary educational programs.

Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1967	$28,000,000	1986	$ 72,338,636
1970	29,600,000	1987	74,548,185
1975	38,331,000	1988	80,413,638
1980	62,500,000	1989	93,584,398
1981	66,501,000	1990	100,781,325
1982	63,720,000	1991	131,643,731
1983	68,366,514	1992	158,759,000
1984	70,754,376	1993	157,589,899
1985	73,614,193	1994	162,500,000

1/ The allocations represent the amount allocated administratively by the Department from funds appropriate jointly for all six Federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

One performance measure is the effect of Upward Bound on participants' academic preparation for college. Evidence from the High School and Beyond (HS&B) survey shows positive effects of Upward Bound participation on reading achievement and educational expectations, but no effects on math achievement (Table 1).

Table 1
RESULTS FROM HS&B: PROGRAM EFFECTS

SELECTION RULES	Reading[1]	Math (less demanding test)	Math (more[2] demanding test)	Educational[3] Expectations
Random Selection	2.92*	2.77	-.30	2.76*
Normal Selection	1.79	2.23	-2.73*	3.57*

*Statistically significant at .05 level.

Another program performance measure is the percentage of Upward Bound seniors who enter college. Although projects report this information to ED annually, it has not been aggregated.

Population Targeting

To participate in Upward Bound (UB), students must be between the ages of 13 and 19 (except for veterans), have completed 8-years of elementary education, need academic support to successfully pursue a program of education beyond high school, be planning to go to college, and need the services in order to fulfill their goals. Participants are selected based upon recommendations from their counselors, teachers, and social agencies. Two-thirds of the project participants must be low-income persons (defined as less than 150 percent of poverty level) who are also potential first-generation college students. The remaining one-third must be either low-income or potential first-generation college students.

---

[1] Refers to the number of correct answers on a scale of 1-20. For example, if randomly selected into Upward Bound or a control group, UB participants scored almost 3 points higher on a scale of 1-20.

[2] Refers to number of correct math answers on a scale of 1-10.

[3] Refers to years of education expected to attain.

There are approximately 530 Upward Bound grantees serving over 40,000 students. Grants are usually for four years. However, applicants whose grant proposals are scored in the top 10 percent of a competition are awarded 5-year grants. In FY 1992, the Department also awarded additional funds to 75 Upward Bound regional centers to establish summer residential programs emphasizing math and science learning. These grants will be continued through 1994.

Services

FY 1993 Awards	Regular	Math/Science Summer Program
Number of projects	534	75
Average award	$267,540	$195,782
Number of persons served	41,835	3,542
Average Federal cost per participant	$3,416	$4,146

Students are recruited for participation in Upward Bound through their high schools, known as "target schools." These target schools are listed in the application; there are approximately 3,300 such schools served by UB projects throughout the country. Students in UB programs generally participate in an intensive 6-week summer residential or non-residential program held on a college campus. They continue to receive academic and support services during the school year, typically on weekends or after school.

All Upward Bound project must provide instruction in the following areas:

- math (through pre-calculus)
- laboratory science
- foreign language
- English
- composition

In addition, the following services are typically provided in the academic year and summer components of the project:

- instruction in study skills and other subjects necessary for success in education beyond high school
- academic or personal counseling
- exposure to cultural events
- tutorial services

-- information on student financial assistance
assistance in completing college applications, financial aid applications, preparation for admissions tests and
-- exposure to a range of career options.

Program Administration

Programs may be sponsored by institutions of higher education, public and private nonprofit agencies, or combinations of such entities. In exceptional cases, secondary schools may sponsor a project or be part of a combination of entities sponsoring a project. Grants are generally four years in length, with the best proposals receiving 5-year grants.

Prior experience points are earned by grantees that have conducted an Upward Bound project during the three years prior to the year in which a new application is submitted. Up to 15 points can be awarded based on the applicant's prior program performance as an Upward Bound grantee. The goal is to promote continuity in the delivery of services.

Outcomes

ED recently began an evaluation of Upward Bound that involves a randomly chosen sample of eligible program participants and a control group. This study involves a representative sample of 70 Upward Bound projects. Initial findings on program impact will be available in March 1995.

Upward Bound has been evaluated several times in the past. The most comprehensive evaluation of the program was undertaken by Research Triangle Institute between 1973 and 1979 (III.2). This study followed a sample of approximately 3,700 Upward Bound participants from 54 sampled projects and 2,300 non-participating matched comparison group students. Two follow-up surveys were conducted. The chief findings from this study were that:

o Upward Bound participants had substantially higher education expectations than non-participants, and these differences increased with the length of Upward Bound participation.

o Upward Bound had no effect on high school graduation rates, but significantly more participants entered postsecondary education. Those who enrolled in college were more likely to attend a four-year institution than non-participants. They were also more likely to attend colleges with high minority enrollment and that hosted an Upward Bound or Student Support Services project.

o Minorities, economically disadvantaged students and students classified as academic risks were particularly more likely to enter college from among Upward Bound participants than from the comparison group.

- Upward Bound participants were more likely to apply for financial aid, and although the probability of receiving aid did not differ from non-participants, aid packages for Upward Bound participants were more likely to include large grants.

- The duration of program participation was associated with an increased likelihood of postsecondary entry. Those in Upward Bound for 2 or 2 years were significantly more likely to enter college than those with a single year of program participation.

- No systematic differences were observed between former Upward Bound participants and non-participants on measures of postsecondary persistence. Similarly, there were few differences on measures of educational performance, although Upward Bound participants had lower grade point averages.

An analysis (III.3) of students in the High School and Beyond Senior survey found similar effects of program participation. Upward Bound participants were more likely to enter college and earned more credits than non-participants, but within 18 months after high school graduation, differences in postsecondary persistence were no longer significant.

A more recent examination (III.4) of data in the High School and Beyond surveys (sophomores and seniors) included an analysis of high school and postsecondary transcripts. The study found that when students are matched on the basis of type of high school attended, race/ethnicity, and family socioeconomic status:

- Upward Bound participants, prior to program entry, earned more math credits and had higher education aspirations than non-participants. Although the differences were not statistically significant, program participants also had slightly higher grade point averages, more science credits, and higher achievement test scores prior to program entry.

- Upward Bound enrollment increases the educational aspirations of students and reading achievement test scores.

- Upward Bound participants were more likely to enter postsecondary education, but two or three years after high school graduation, differences in postsecondary persistence had largely disappeared. There were no systematic differences in rates of college graduation or credits earned.

Management Improvement Strategies

The Department has recently begun to develop a revised set of regulations that will incorporate recent legislative changes. The new regulations will also improve the reliability of selection criteria, and prior experience point allocation criteria used by the Department. The regulations will improve project accountability and help the Department develop a better working relationship with the Upward Bound grantees.

III. SOURCES OF INFORMATION

1. Program files.

2. Graham Burkheimer, John Riccobono, Joseph Wisenbaker, Final Report: Evaluation Study of the Upward Bound Program--A Second Follow-up, (Research Triangle Park, NC: Research Triangle Institute, 1979).

3. Steven M. Jung and Applied Systems Institute, Reanalysis of High School and Beyond Data to Estimate the Impact of Upward Bound (Washington, DC: Applied Systems Institute, 1984).

4. David Myers, "The Effects of Upward Bound and Supplemental Service Programs: Findings From Extant Data" (Rockville, MD: Westat, Inc., 1991).

IV. PLANNED STUDIES

The Department of Education has begun a major evaluation of Upward Bound. The first phase of the evaluation will assess the impact on participants during high school. The evaluation will use a random assignment experimental design.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Prince Teal, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

TALENT SEARCH
(CFDA No. 84.044)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 4, Sections 417A and 417B, P.L. 96-374, as amended by P.L.102-325 (20 U.S.C. 1070a-11 and 1070a-12) (expires September 30, 1997).

Purpose: To identify qualified youths with potential for postsecondary education, to encourage them to complete secondary school and to enroll in postsecondary education programs, to publicize the availability of student financial aid, and to encourage secondary and postsecondary school dropouts to reenter an educational program.

Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation
1967	$ 2,492,000	1986	$19,606,841
1970	5,000,000	1987	20,384,105
1975	6,000,000	1988	22,228,872
1980	15,300,000	1989	26,012,469
1981	17,113,000	1990	27,034,092
1982	17,057,594	1991	59,576,004
1983	17,057,594	1992	65,720,000
1984	17,628,233	1993	65,219,000
1985	20,728,468	1994	75,000,000

1/ The allocations represent the amount allocated administratively by the Department from funds appropriated jointly for all six Federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement program, and the Training Program for Special Staff and Leadership Personnel.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Each Talent Search grantee is required to maintain its own project-level performance objectives and measures. The extent to which these performance measures are met is reported yearly by the projects on the Department's Annual Performance Report Form. Prior experience points are given to grant applicants that have conducted a Talent Search project during the 3 years preceding the competition. Up to three prior experience points can be earned for the extent to which the applicant has achieved the performance goals and objectives as stated in the previously funded application or negotiated program plan.

In September of 1993, ED launched a 1-year study to develop a standard set of performance criteria that all projects could use to assess their own performance. The study will also result in recommendations for improving the Annual Performance Report Form.

Population Targeting

Talent Search projects serve disadvantaged individuals who either have completed five years of elementary education or are between ages 11 and 27. In each project, two-thirds of the participants must be low-income persons (from families with incomes less than 150 percent of poverty level) who are also potential first-generation college students.

Services

Similar to Upward Bound, the program's primary goal is to encourage students to graduate from high school and attend some form of postsecondary education. Talent Search also encourages high school and postsecondary dropouts to return to school. Central features in Talent Search are the emphasis on community outreach, and the heavy reliance on personal, academic, and financial aid counseling. Talent Search provides a limited level of service per participant (per capita expenditure is $231), in contrast to Upward Bound, where per capita costs are 14 times greater.

The 294 Talent Search projects funded in FY 1992 provided a range of services to more than 285,000 persons. In FY 1993, Talent Search provided services to a slightly lower number of persons. Services provided by Talent Search projects include:

- ✓ academic, or personal counseling
- ✓ career exploration and aptitude assessment
- ✓ assistance with the re-entry process to high school or college
- ✓ information on postsecondary education
- ✓ information on student financial assistance
- ✓ assistance in completing college applications, financial aid applications, preparation for admissions tests
- ✓ exposure to a range of career options
- ✓ tutorial services and
- ✓ attendance at cultural events.

Beginning in FY 1989, priority was placed on serving younger students in the seventh and eighth grades. The 1992 amendments to the Higher Education Act extended the initiative to include sixth graders as well.

Fiscal Year 1993 Awards

Number of New Projects	0
Number of Continuation Projects	292
Average Award	$223,089
Number of Persons Served	281,623
Average Federal Cost Per Participant	$231

Program Administration

Competitions for funds are held every fourth and fifth year. (A project period under Talent Search is four years. However, a project period of five years exists for grantees whose applications score in the highest 10 percent of all applications approved for new grants.) Most grants are made to community based organizations and institutions of higher education. Prior experience points are given to grant applicants that have conducted a Talent Search project during the three years preceding the competition. Up to 15 points can be awarded on the applicant's prior program performance as a Talent Search grantee. This is intended to promote continuity in the delivery of services. In the FY 1988 competition, of grants awarded, 154 (87 percent) went to previous grantees. In FY 1991 (the last year in which a competition was held), the program was expanded substantially, resulting in over 40 percent of the awards going to new grantees.

Outcomes

The College Board conducted an exploratory study of Talent Search and Educational Opportunity Center programs in 1982-83 (III.2). It examined data from 11 local Talent Search projects and annual performance reports and other program data collected by the Department of Education. The study concluded that it was difficult to evaluate program effectiveness because no common method governed the way the projects collect and report data to the program's performance-reporting system.

However, in 1993, ED published a report entitled, Design Conference for the Evaluation of the Talent Search Program (III.3). The report contained six papers on issues that should be addressed in the next evaluation. The report also summarized the ideas expressed at a one-day conference where the authors discussed a future evaluation of Talent Search with ED staff and some representatives of outside organizations.

In September of 1993, ED launched a small 1-year study of the program which is discussed below in the "Planned Studies" section. In addition, the National Council of Educational Opportunity Associations (NCEOA) is currently conducting a survey of Talent Search project directors to obtain descriptive information about project characteristics.

Management Improvement Strategies

The Department recently developed a revised set of regulations for the Talent Search program. The new regulations increase project accountability for Federal funds, but allow projects to exercise greater discretion and flexibility in deciding how to deliver services.

III. SOURCES OF INFORMATION

1. Program files.

2. Paul L. Franklin, Helping Disadvantaged Youths and Adults Enter College: An Assessment of Two Federal Programs (Washington, DC: College Entrance Examination Board, 1985).

3. The Department of Education, Design Conference for the Evaluation of the Talent Search Program (Washington, DC: U.S. Department of Education, Office of Policy and Planning, 1993.)

IV. PLANNED STUDIES

In September of 1993, ED launched a 1-year study of Talent Search that will identify performance criteria that could be used to assess the performance of the program in a large evaluation, or that could be used by individual projects to assess their own performance. The study will also provide recommendations for improving the Annual Performance Report Form.

In addition, the National Council of Educational Opportunity Associations received a Ford Foundation grant to conduct a descriptive study of the program practices in Talent Search. The study was completed in December, 1993. The Department is also considering the feasibility of conducting a more comprehensive study of the Talent Search program.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Prince Teal, (202) 708-4804

Program Studies : Elizabeth Eisner, (202) 401-0182

EDUCATIONAL OPPORTUNITY CENTERS
(CFDA No. 84.066)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, as amended, Title IV Sections 417A and 417E, P.L. 96-374, as amended by P.L. 102-325 (20 U.S.C. 1070a-11 and 1070a-16) (expires September 30, 1997).

Purpose: To provide information on financial and academic assistance available to qualified adults who want to enroll in postsecondary education and to help them apply for admission.

Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation
1975	$3,000,000	1987	$9,209,531
1980	7,700,000	1988	11,162,663
1981	8,000,674	1989	11,508,875
1982	7,800,000	1990	11,901,990
1983	7,800,000	1991	19,144,000
1984	8,101,898	1992	20,500,000
1985	9,209,468	1993	20,500,000
1986	8,813,523	1994	24,100,000

1/ The allocations represent the amount allocated administratively by the Department from funds appropriated jointly for all six Federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Each Equal Opportunity Center grantee is required to maintain project-level performance objectives and measures. The extent to which these performance measures are met is reported yearly by the grantees on the Department's Annual Performance Report Form. Up to 15 prior experience points can be given to grant applicants that have conducted a Talent Search project during the three years preceding a grant competition. Up to 3 of those 15 prior experience points can be awarded to an applicant depending on the extent to which the applicant has achieved the performance goals and objectives as stated in the previously funded application or negotiated program plan.

Population Targeting

Participants must reside in the target area served by the Educational Opportunity Centers, be age 19 or above, and need services in order to pursue postsecondary education. At least two-thirds of the participants must be low-income persons who are also potential first-generation college students. Persons under age 19 may be served by an EOC if there is no Talent Search project in the target area.

Services

Educational Opportunity Centers (EOCs) may provide any of the following services:

- ✓ academic, financial, or personal counseling
- ✓ career exploration and aptitude assessment services
- ✓ assistance with the re-entry process to high school or college
- ✓ information on postsecondary educational opportunities
- ✓ assistance in completing applications for college admissions, testing, and financial aid
- ✓ coordination with nearby postsecondary institutions and
- ✓ activities designed to involve and acquaint the community with higher education opportunities.

Fiscal Year 1993

Number of New Projects	0
Number of Continuation Projects	62
Average Award	$330,645
Number of Persons Served	142,451
Average Federal Cost Per Participant	$144

Program Administration

Educational Opportunity Centers programs may be sponsored by institutions of higher education, public and private nonprofit agencies and organizations, or a combination of such entities.

Prior experience points are earned by grantees that have conducted an Educational Opportunity Centers project during the three years prior to the competition. Up to 15 points can be awarded based on the applicant's prior program performance as an EOC grantee. This is intended to promote continuity in the delivery of services. In the FY 1988 competition, 80 percent of the awards went to previous grantees, but in FY 1991 the program was expanded substantially, which resulted in nearly 60 percent of the awards going to new grantees. Competitions are held every fourth and fifth year. (A project period under EOC is four years. However, a project period of five years exists for grantees whose applications score in the highest 10 percent of all applications approved for new grants.) The last competition was in 1991.

Outcomes

The College Board studied Educational Opportunity Centers operating in 1982-83 (III.2). They visited six EOCs and examined the annual performance reports and other program data collected by the Department of Education. The researchers concluded that it is difficult to evaluate program effectiveness because no common method governed the way the projects collect and report data to the program's performance-reporting system, and because no standard definition of "client" exists for recordkeeping and reporting; hence, it is impossible to measure aggregate program performance. There have been no subsequent evaluations of the Educational Opportunity Centers program.

Management Improvement Strategies

The Department recently developed a revised set of regulations. The new regulations increase project accountability for Federal funds. The new regulations also allow grantees greater discretion and flexibility in the daily operations of Educational Opportunity Center projects.

III. SOURCES OF INFORMATION

1. Program files.

2. Paul C. Franklin, Helping Disadvantaged Youth and Adults Enter College: An Assessment of Two Federal Programs (Washington, DC: College Entrance Examination Board, 1985).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Prince Teal, (202) 708-4804

Program Studies : Elizabeth Eisner, (202) 401-0182

STUDENT SUPPORT SERVICES
(CFDA No. 84.042)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, as amended, Title IV, Part A (20 U.S.C. 1070a-11 and 1070a-14) (expires September 30, 1997).

Purpose: To identify low-income, first-generation, and physically handicapped college students who are enrolled or accepted for enrollment by participating postsecondary institutions, and to provide them with necessary support services to pursue programs of postsecondary education successfully.

Funding History

Fiscal Year	Appropriation[1]	Fiscal Year	Appropriation [1]
1970	$10,000,000	1987	$70,070,000
1975	23,000,000	1988	90,809,664
1980	60,000,000	1989	85,390,077
1981	63,885,326	1990	90,898,662
1982	60,702,406	1991	115,233,304
1983	60,555,892	1992	127,144,000
1984	67,294,974	1993	131,300,000
1985	70,083,664	1994	
140,153,000			
1986	67,070,000		

[1] The allocations represent the amount allocated administratively by the Department of Education from funds appropriated jointly for all six Federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Program participation is directed toward low-income, first-generation, and physically handicapped college students who need support programs to successfully pursue programs of postsecondary education. In any project, two-thirds of the participants must be both low-income and first-generation college students or physically handicapped. One-third of the disabled participants must also be from low-income families.

An ongoing evaluation of Student Support Services (III.5) reports that:

- 61 percent of the institutions receiving Student Support Service grants were 4-year institutions (two-thirds of which were public), 35 percent were community colleges, and 4 percent were 2-year private colleges;
- 81 percent of project participants attended public institutions; 16 percent attended 4-year private schools; 3 percent attended two-year private schools.
- 60 percent of project participants were from low-income and first-generation backgrounds, 11 percent were handicapped, 7 percent were low-income only, and 22 percent were first-generation only;
- 61 percent of project participants were female and 39 percent were male;
- 43 percent of project participants were white, 32 percent were black, 16 percent were Hispanic, 5 percent were Asian, and 3 percent were Native American/Alaskan.

Services

The 707 projects funded under the Student Support Services program during FY 1993 provided a range of services to more than 162,000 postsecondary students across the country. The services provided include instruction; academic, career, and personal counseling; tutoring; financial aid; services for limited-English-proficiency students; and participation in cultural events.

	FY 1993
Number of new projects [1]	707
Number of continuation projects	0
Average award	$186,878
Number of persons served	162,434
Average Federal cost per participant	$808

[1] "New projects" refers to grants awarded at the beginning of a 3-year cycle.

Results from ED's current evaluation (III.5) show the percentage of student participants who received different types of services. The most frequently used services are counseling and tutoring.

Percentage of Student Support Services (SSS) students receiving each type of service: 1991-1992

Type of service[1]	SSS participants
Instructional courses	21.7%
Tutoring (professional)	15.2
Tutoring (peer)	47.2
Couseling (professional)	77.5
Counseling (peer)	11.9
Labs	13.4
Workshops	21.9
Cultural events	7.4
Services to handicapped[2]	2.5
Sample Size	(4,746)

[1] Each student may receive more than one type of service.

[2] Only services specifically designed for handicapped students were included in this category. Other services received by handicapped students were classified under the applicable type of service.

Program Administration

Student Support Services programs may be sponsored only by institutions of higher education. Each applying institution must assure that each participant will be offered sufficient financial aid to meet her or his full financial need. Competitions for Student Support Services funding are held every fourth and fifth years. Subsequent third-year funding is based on approval of a non-competitive continuation application.

Prior experience points are earned by grant applicants that have conducted a Student Support Services project during the three years preceding the date of application. Up to 15 points can be awarded according to the applicant's prior program performance in service delivery. In the FY 1990 competition, of 704 grants awarded, 91.5 percent went to previous grantees. In 1993, 88 percent of current grantees were successful when they recompeted.

According to a 1985 Inspector General's audit report (III.2), there were significant problems in the documentation of student eligibility and services provided to students. In some institutions, there was duplication of services between Student Support Services programs and State-funded programs.

Outcomes

ED is currently conducting an evaluation of the Student Support Services program (III.5). Initial findings focus on program implementation. They indicate:

- SSS grants are well-targeted in terms of the types of institutions that receive grants and the students participating in the program. SSS institutions are more likely than other colleges to have predominant minority enrollment, and to admit students with lower SAT scores. Compared to other students at their institution and to national norms, SSS participants are more likely to come from poor families, have parents who have not completed high school or college, be African American or Hispanic, older, and have lower high school grades and SAT scores.

- There is a long-term trend for the program to serve students less intensively. The average SSS freshman receives 10 hours of service (most often counseling or tutoring), but a 1979 study found that the average freshman participant received 14 hours of service--a decline of 35 percent. Similarly, per capita expenditures (adjusted for inflation) have declined nearly 30 percent since 1970.

- Although SSS was often among the first services available on campus for disadvantaged students, at most institutions it is now one of several service providers. Of the 30 institutions at which site visits were conducted, SSS was the primary support service provider in only three places. At most schools, Federal grants support only a limited part of the support service mix.

- Most SSS projects operate as "stand-alone" entities. Two-thirds of the sites visited were organized in this manner; one-third were blended with other institutional support service efforts.

  In the past, Federal requirements for non-duplication of services and for a full-time project coordinator encouraged stand-alone program approaches. The 1992 amendments to the Higher Education Act will alter these Federal policies.

- Beyond serving a limited number of eligible students, there is little evidence of direct SSS efforts to shape larger institutional policies regarding retention, recruitment or admissions, minority relations, or financial aid policy. There was no discernible difference between SSS schools and non-SSS schools in institutional climate regarding minority relations, at-risk students or students with disabilities. In general, the SSS project does not appear to be located high enough in the institution's governance structure to impact basic policies.

- Although one objective is for SSS institutions to meet the full financial need of SSS participants, many institutions are unable to do so. Also, many SSS participants do not always receive the best financial aid package available to other students with similar needs.

These findings suggest that stronger links should be established between Federal SSS grants and other broad institutional efforts to improve performance and retention of disadvantaged students.

Beginning in 1979, a 4-year longitudinal evaluation of the Student Support Services program (III.3) was conducted. The study had the following major findings:

- Students with the greatest need for support services were the least likely to succeed in college.

- There was no clear evidence that various types of academic assistance were related to college persistence, but non-academically oriented services provided to freshmen were positively associated with college persistence. Academic support services received after the freshman year were relatively less successful in improving long-term academic performance than were non-academic services.

- Moderate levels of support services were more effective than either no services or very intensive services. However, students who received moderate levels of services apparently had fewer academic deficiencies to overcome than those who received more intensive services.

- Almost 60 percent of Student Support Services participants were still enrolled in postsecondary education three years after entry, and most were full-time students.

An analysis of High School and Beyond data (III.4) on postsecondary students receiving support services (not just Student Support Services grantees) found:

- Sixty percent of all students in 2-year schools use either counseling or tutoring services;

- Seventy-four percent of all students in 4-year schools use either counseling or tutoring services;

- Both counseling and tutoring are positively related to the number of credits earned by students in 2-year schools; in 4-year schools, only tutoring had a positive effect on credits earned;

- After controlling for family, student, and school characteristics, it appears that supplemental services are not related to postsecondary grade-point average or completion of a degree or certificate.

Management Improvement Strategies

In FY 1991, a program initiative was implemented to emphasize transfers from two-year to four-year colleges. A total of 221 2-year institutions are participating in the initiative. Now, all 2-and 4-year institutions may apply. In FY 1994, the Department will begin to develop a revised set of regulations. The new regulations will be designed to increase accountability for Federal funds while allowing SSS grantees to exercise greater discretion and flexibility to make project decisions.

ED's ongoing evaluation found that outcome measures used by projects to evaluate their own performance, and by the Federal government, vary considerably, by type of outcome (e.g., grades, passing a course, retention, graduation) and degree of difficulty. No project considers the intensity of services provided to participants.

III. SOURCES OF INFORMATION

1. Program files.
2. Office of the Inspector General, "Results of OIG's Limited Review of the Special Programs for Disadvantaged Students" (Washington, DC: U.S. Department of Education, 1985).
3. Follow-up Evaluation of the Special Services for Disadvantaged Students Program (Santa Monica, CA: Systems Development Corporation, 1983).
4. David Myers, "The Effects of Upward Bound and Supplemental Service Programs: Findings for Extant Data" (Rockville, MD: Westat, Inc., 1991).
5. Interim Report on Evaluation of the Student Support Servcies Program (Rockville, MD: Westat, Inc., 1994).

IV. PLANNED STUDIES

The Department began an evaluation of the Student Support Services program in October 1990. An initial report on the program participation became available in February 1994. The first results describing program and implementation impact will be available in February 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	May Weaver, (202) 708-4804
Program Studies	:	David Goodwin, (202) 401-0182

VETERANS' EDUCATION OUTREACH PROGRAM
(CFDA No. 84.064)

I. PROGRAM PROFILE

Legislation: Title IV, Section 420A of the Higher Education Act (HEA), of 1965, as amended (20 U.S.C. 1070e-1) (expired September 30, 1992). The program was not reauthorized and therefore, FY 1992 was the final award year.

Purpose: To encourage colleges and universities to serve the special educational needs of veterans, especially service-connected disabled veterans, other disabled or handicapped veterans, incarcerated veterans, and educationally disadvantaged veterans.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$25,000,000	1986	$2,871,000
1975	31,250,000	1987	3,000,000
1980	14,380,000	1988	2,872,000
1981	6,019,000	1989	2,838,000
1982	4,800,000	1990	2,801,000
1983	3,000,000	1991	2,733,000
1984	3,000,000	1992	2,700,000
1985	3,000,000	1993	0

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Veterans' Education Outreach program (VEOP) was created in FY 1986 as a replacement for the former Veterans' Cost of Instruction program (VCIP), which was authorized in FY 1972. In FY 1976, there were approximately 910,000 veterans enrolled in postsecondary education and receiving VCIP services. Due to the decline in the number of Vietnam veterans, by FY 1992, there were 169,081 veterans receiving VEOP services. The number of veterans receiving VEOP services in FY 1992 increased nearly 20 percent over FY 1991 when only 141,000 veterans received VEOP services.

Services

In FY 1992, there were 513 institutional grants and the average award was $5,255. The average award in FY 1992 decreased by 2.5 percent from FY 1991.

Table 1

Number of Institutional Grants by Size, Fiscal Years 1987-1992

Fiscal Year	1987	1988	1989	1990	1991	1992
Average Grant	$5,464	$5,555	$5,479	$5,624	$5,392	$5,255
$5,000 or less	353	334	342	318	327	327
$5,001-$10,000	125	108	114	107	107	124
$10,001-$40,000	57	64	58	71	67	61
$40,001+	14	11	4	2	3	1
Total	549	517	518	498	504	513

Institutions that received VEOP funds must have maintained an Office of Veterans' Affairs and provided outreach and recruitment programs, counseling and tutorial services, and special education programs for veterans, with special emphasis on services for physically disabled, incarcerated, and educationally disadvantaged veterans.

Program Administration

The Veterans' Education Outreach program provided formula grants to institutions of higher education (IHEs) based on the number of enrolled veterans receiving veterans' educational benefits or vocational rehabilitation services. Eligible institutions must have enrolled at least 100 veterans with honorable discharges or have had prior participation in the VCIP for a continuous period of three of the five most recent fiscal years ending on or before September 30, 1985. Additional payments were made for enrolled veterans were are educationally disadvantaged or disabled.

The payment was determined by formula: $300 per full-time equivalent undergraduate eligible veteran; $150 per educationally disadvantaged or disabled veteran; and $100 per full-time equivalent veteran with an honorable discharge who did not receive veteran's educational benefits. These payments were rateably reduced if the amount appropriated was not sufficient to pay the amounts to which all institutions were entitled. Legislation limited an IHE's total award to $75,000.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Ronald D. Amon, (202) 708-7861

Program Studies : Jim Maxwell, (202) 401-0182

FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION
(CFDA No. 84.116)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title X, Part A, Sections 1001-1004, 1011 and Title XI, Part B, Sections 1121-1122 (20 U.S.C. 1135-1135a-3, 1135a-11 and 1137, 1137a) (expires September 30, 1997).

Purpose: To provide grants to support innovative projects that will encourage the reform and improvement of postsecondary education and student participation in community service projects.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1973	$10,000,000	1987	$13,700,000
1975	11,500,000	1988	13,117,000
1980	13,500,000	1989	13,310,000
1981	13,500,000	1990	13,183,000
1982	11,520,000	1991	16,103,000
1983	11,710,000	1992	16,463,000
1984	11,710,000	1993	28,220,000 1/
1985	12,710,000	1994	17,372,000
1986	12,163,000		

1/ This includes funds that were directed by Congress to be spent through programs authorized elsewhere in the HEA: (1) $3,472,000 for the Eisenhower Leadership Program (Title X Part D); (2) $4,960,000 for Early Childhood Education and Violence Counseling (Title V, Part F, Subpart 5); and (3) $2,480,000 for Minority Teacher Recruitment (Title V, Part E, Subpart 2).

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

The following chart summarizes four of the main FIPSE performance objectives and indicators for FY 1993:

FIPSE Objectives and Performance Indicators: FY 1993

FIPSE Objectives	Performance Indicators
Overall Objective: To support the reform, innovation, and improvement of postsecondary education and provide equal educational opportunity for all.	
a. To support projects that improve student access and retention in high quality educational programs.	Approximately 20 percent of FY 1993 grants focus on access and retention issues.
b. To continue to support the objectives of Goals 2000 Educate America.	Approximately 50 percent of current grants focus on National Goals 3, 4 and 5.
c. To support the National Service objectives through further development of FIPSE's Community Service Program.	Seventeen new Community Service grants were made. A cluster of community service research projects received initial funding.
d. To provide educators with timely, high quality information about effective practice.	Released second "Lessons Learned" report for higher education audiences, and reprinted the first "Lessons Learned." Four projects were funded with the primary function of disseminating information on practices that have been proven effective through evaluations.

Services

In FY 1993, FIPSE made awards under three programs. The main program was called the Comprehensive program; the other two were: (1) the Targeted Competitions, and (2) Innovative Projects for Student Community Service.

In FY 1993, the Comprehensive program supported 189 grants on a wide range of issues, including curriculum reform, access and retention, assessment of academic program quality, faculty development, teacher training, graduate and professional education, international education, education for a changing economy, and educational technology. Funding for the program was $13,453,000.

In FY 1993, there were two Targeted Competitions. The first was Leadership in Science and the Humanities, which was a joint grant competition funded at $500,000 with support from the National Endowment for the Humanities, the National Science Foundation and FIPSE. The second was a U.S./European Exchange program funded at $1,618,000. Eligible entities included 2- and 4-year colleges and universities (accredited and nonaccredited), community organizations, libraries, museums, nonprofit trade and technical schools, unions, consortia, student groups, local government agencies, nonprofit corporations, and associations.

In FY 1993, there was also a noncompetitive continuation of a Special Focus Competition on College-School Partnerships. ($301,000). There were 17 new grants and 8 continuation grants awarded under the Innovative Projects for Student Community Service program in FY 1993 ($1,436,000). This program encouraged student participation in community service activities, including literacy projects.

The remaining FIPSE funds were directed by Congress to be spent through programs authorized elsewhere in the HEA 1992: $3,472,000 for the Eisenhower Leadership Program; $4,960,000 for Early Childhood Education; and $2,480,000 for Minority Teacher Recruitment.

Program Administration

FIPSE grants are awarded through a competitive process. Applications are reviewed by FIPSE staff and external reviewers from the higher education community.

Annual invitational priorities are set by FIPSE with the advice of the FIPSE National Advisory Board. The FY 1993 award priorities for the Comprehensive program were curriculum reform, improving the educational climate on campus, reducing racial tension, international education, combining subject mastery with teaching technique in teacher education, assessment of learning, and financial reforms and their effects on quality and access, education and the economy, and new applications of technology.

Outcomes

An evaluation of outcomes is required of all grantees as part of their final reports. An analysis of these evaluations is conducted annually, and information on the most promising outcomes is included in a subsequent issue of a FIPSE report titled Lessons Learned.

Management Improvement Strategies

FIPSE has begun a number of initiatives to achieve improved project monitoring and enhanced program accountability. These include tighter final report procedures with stronger project evaluation designs, new approaches to the reporting of successful outcomes, and an improved automated data processing system for monitoring the financial status of grants.

III. SOURCES OF INFORMATION

1. Program files.

2. Surveys of funded projects.

3. Lessons Learned, Volume 1 and Lessons Learned, Volume 2. The Fund for the Improvement of Postsecondary Education prepared these publications which draw on information from final reports of projects and from questionnaires of grantees. Volume 1, which includes projects finished by 1988, was released in fall 1990; Volume II, which includes projects that finished during 1988-1991, was released in September 1993.

IV. PLANNED STUDIES

During FY 1994, FIPSE will develop plans for a program evaluation, which will occur during FY 1995. This evaluation will address: (1) evidence of FIPSE program accomplishments; (2) benefits to grant recipients (improvement of teaching and learning for faculty and students); (3) diffusion of successful practices to other sites; and (4) contributions to knowledge development in postsecondary education.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Preston Forbes, (202) 708-5750

Program Studies : Elizabeth Eisner, (202) 401-0182

TRAINING PROGRAM FOR SPECIAL PROGRAMS STAFF AND LEADERSHIP PERSONNEL
(CFDA No. 84.103)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A (20 U.S.C. 1070a-11 and 1070a-17) (expires September 30, 1997).

Purpose: To provide training for staff and leadership personnel who are employed in, or are preparing for employment in, the Upward Bound, Student Support Services, Talent Search, Educational Opportunity Centers, and Ronald E. McNair Postbaccalaureate Achievement programs (the Federal TRIO programs).

Funding History

Fiscal Year	Appropriation 1/	Fiscal Year	Appropriation 1/
1978	$2,000,000	1987	$1,006,000
1980	2,000,000	1988	1,229,179
1981	1,000,000	1989	1,279,181
1982	960,000	1990	1,547,790
1983	960,000	1991	2,236,000
1984	960,000	1992	2,000,000
1985	1,302,975	1993	1,866,611
1986	957,000	1994	2,000,000

1/ The allocations represent the amount allocated administratively by the Department from funds appropriated jointly for all six Federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-baccalaureate Achievement program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Performance reports were due back from grantees in February 1994. The performance reports contain information on the number of TRIO personnel trained and their satisfaction with services received.

Services

The training grants are designed to improve the leadership, management, and accounting skills of the people who provide project services under the various TRIO programs.

Program Administration

The training program supports short-term training institutes, workshops, and in-service training programs to improve the skills of staff and leaders. Training topics include student retention, services to handicapped students, learning disabled and English-as-a-Second-Language students, evaluation of program impact, and project management with emphasis on accountability for funds and services. Training includes manuals and other written materials that the trainees retain for future reference and use in training other project staff members.

The projects funded in FY 1993 will provide training to an estimated 1,427 persons. The trend in the training program has been toward the development of proposals focused on regional rather than nationwide training workshops.

	FY 1993
Number of new projects	0
Number of continuation projects	13
Average award	$143,675
Number of persons served	1,427
Average Federal cost per participant	$1,306

Management Improvement Strategies

The training program issued a new performance report form to improve program reporting and management in FY 1992. The Division of Student Services will develop new regulations for the training program in FY 1994. The new regulations will establish greater accountability for the use of Federal funds.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operation: May J. Weaver, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

STRENGTHENING INSTITUTIONS PROGRAM
(TITLE III, PART A)
(CFDA No. 84.031)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title III, Part A, amended by P.L. 102-325 (20 U.S.C. 1051-1059b) (expires September 30, 1997).

Purpose: To help institutions of higher education with limited financial resources serving significant percentages of needy students become financially self-sufficient.

Funding History

Fiscal Year	Appropriation 1/
1987	$75,467,000
1988	60,060,000
1989	77,459,000
1990	82,911,000
1991	87,830,000
1992	87,831,000
1993	86,257,000
1994	88,586,000

1/The Title III discretionary program was first funded in FY 1966. However, this version with three parts was not funded until FY 1987.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

The program office is currently developing the performance indicators that will be used to assess the program's performance. Program staff believe that the most appropriate indicators would be the number and percentage of institutional activities' objectives achieved and subsequently the number and percentage of projects institutionalized. More specifically, these indicators could demonstrate reductions in attrition rates, increases in transfer rates from 2-year colleges to 4-year colleges, the development of new curricula, the implementation of improved and effective teaching styles, and improved management capabilities among others.

Population Targeting

When the appropriation equals or exceeds $60.5 million, 25 percent of the funds in excess of $60.5 million must be made available to institutions that enroll at least 60 percent minority students.

The distribution of Part A funds to institutions has remained relatively constant since 1991 (see Table 1).

- Most of the funds in FY 1993 went to 2-year public institutions (67 percent) and to predominantly white institutions (81 percent).
- There is no support for Historically Black colleges in 1993 because all Historically Black colleges choose to participate in the Strengthening Historically Black Colleges and Universities program (Part B) instead of Part A. No Historically Black College or University which is eligible for and receives funds under Part B may receive funds under Part A.

Services

The Strengthening Institutions program supports an annual funding competition for two types of discretionary grants: 1-year planning grants and 5-year development grants. Institutions may use their funds to plan, develop, and implement activities for faculty and academic program development, funds and administrative management, joint use of libraries and laboratories, acquisition of equipment to be used in strengthening fiscal management and academic programs, and student services.

Program Administration

To apply for a grant, an institution must meet basic eligibility requirements. Basic eligibility requires an institution to be accredited or pre-accredited by the State to grant Bachelors or Associates degrees.

In addition, to be eligible to compete in Part A, institutions must show that they serve substantial numbers of needy students and have limited resources. Need is defined by the percentage of students receiving Pell Grants enrolled at an institution, and resources is defined by education and general (E&G) expenditures per full-time-equivalent student. Each year, cut-off values are published for both measures, and institutions with higher Pell participation rates and lower E&G expenditures per student are eligible to compete for funds. There are several allowable waivers to these requirements, for which a written justification is needed.

TABLE 1

STRENGTHENING INSTITUTIONS PROGRAM OBLIGATIONS BY INSTITUTIONAL RACIAL/ETHNIC IDENTIFICATION AND INSTITUTIONAL TYPE AND CONTROL FISCAL YEARS 1991, 1992 and 1993

	FY 1991			FY 1992			FY 1993		
Institutional Racial/Ethnic Identification*	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
Historically Black**	1	$488,053	0.6%	0	0	0	0	0	0
Predominantly Black	15	3,906,022	4.4	17	5,003,294	5.7	16	5,512,760	6.4
Predominantly White	231	70,239,282	80.0	236	71,114,004	81.0	224	69,617,471	80.7
American Indian	17	3,520,166	4.0	13	2,598,919	3.0	8	2,040,159	2.4
Asians/Pacific Islanders	5	1,195,484	1.4	4	990,868	1.1	5	1,172,374	1.3
Hispanic	37	8,477,263	9.7	28	8,123,915	9.2	22	7,914,236	9.2
Total	306	$87,826,270	100.1%***	298	$87,831,000	100.0	275	$86,257,000	100.0
Type and Control									
Four-Year Private	60	$12,783,491	14.6	54	$12,102,510	14.0	50	$12,850,022	15.0
Four-Year Public	38	10,320,169	11.8	35	11,230,528	13.0	38	12,533,197	14.5
Two-Year Private	14	3,361,495	3.8	14	2,876,184	3.0	11	3,041,183	3.5
Two-Year Public	194	61,361,115	69.9	195	61,621,778	70.0	176	57,832,598	67.0
Total	306	$87,826,270	100.1%***	298	$87,831,000	100.0	275	$86,257,000	100.0

Source: III.1

*HBCUs are defined as colleges founded before 1964 for the purpose of educating black Americans. The predominant racial/ethnic categories are institutions where more than 50 percent of students are of that racial/ethnic category.

**Note that HBCUs may not receive funding under both Part A and Part B, the HBCU formula grant program, in the same year.

***Numbers add to more than 100% due to rounding.

Management Improvement Strategies

An annual national workshop is held that includes technical assistance workshops to improve continuation applications and projects.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

An evaluation of the Title III programs is planned to begin in FY 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Caroline J. Gillin, (202) 708-8816

Program Studies : Jim Maxwell, (202) 401-0182

STRENGTHENING HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (TITLE III, PART B) (CFDA No. 84.031B)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title III, (Part B), P.L. 96-374, as amended by P.L. 99-498, P. L. 100-50, and P. L. 102-325 (20 U.S.C. 1060-1063c) (expires September 30, 1997).

Purpose: To strengthen Historically Black Colleges and Universities (HBCUs) so they may continue their unique role of educating black, educationally disadvantaged, and low-income students.

Funding History

Fiscal Year	Appropriation
1987	$51,741,000
1988	73,162,000
1989	84,422,000[1]
1990	95,366,000
1991	99,541,000
1992	111,731,000
1993	109,709,000
1994	116,719,000

[1] $4,500,000 was appropriated in FY 1989 for construction of a Health and Human Resources Center at Vorhees College.

II. PROGRAM INFORMATION AND ANALYSIS

Services

The Strengthening Historically Black Colleges and Universities Program consists of two components:

1. Strengthening Historically Black Colleges and Universities (HBCUs) is a formula grant program for HBCUs designed to help improve their programs and management and enhance educational opportunities for students. It also is intended to facilitate a decrease in reliance on governmental financial support and to encourage reliance on endowments and private sources. Part B funds may be used to establish or strengthen the physical

plants, faculty support, academic instruction, student services, funds development, financial management, academic resources, and endowments of HBCUs. Up to 50 percent of the funds may be used for construction or maintenance.

A Part B eligible institution is any accredited, legally authorized HBCU that was established prior to 1964 and whose principal mission was, and is, the education of black Americans. A list of those HBCUs was published in the Federal Register of July 20, 1993. The appropriation is allotted among HBCUs according to the number of Pell Grant recipients among currently enrolled students (50 percent), number of graduates (25 percent), and percentage of graduates attending graduate or professional school in degree programs in which blacks are underrepresented (25 percent). The statute provides for a $500,000 minimum allotment for each eligible institution.

2. The Strengthening Historically Black Graduate Institutions Program provides grants to the following five postgraduate institutions: Morehouse School of Medicine, Meharry Medical School, Charles R. Drew Postgraduate Medical School, Atlanta University, and Tuskegee Institute of Veterinary Medicine. All institutions are required to match award amounts in excess of $500,000, except for Morehouse School of Medicine, which is authorized to receive $3 million. The Higher Education Amendments of 1992 provide for awards to the five originally funded institutions and authorizes awards to 11 additional historically black graduate and professional institutions should the program appropriations exceed 12 million dollars. Graduate institutions may use these grants for the same purposes as undergraduate HBCUs and, in addition, can use the funds to establish an endowment or a development office to increase contributions from private sources.

The distribution of Part B funds to institutions has remained relatively constant since 1989 (see Tables 1 and 2).

- Support for HBCUs has increased 38 percent from FY 1989 to FY 1993, from $80 million to $110 million.
- In FY 1993, 80 percent of funds went to four-year HBCUs. This percentage has remained relatively unchanged, increasing from 77 percent in FY 1989.

TABLE 1

STRENGTHENING HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM OBLIGATIONS BY INSTITUTIONAL TYPE AND CONTROL
FISCAL YEARS 1989, 1990, 1991, 1992 AND 1993

Institutional Type and Control	FY 1989 Number of Awards	FY 1989 Obligations	FY 1989 % of Total Dollars	FY 1990 Number of Awards	FY 1990 Obligations	FY 1990 % of Total Dollars	FY 1991 Number of Awards	FY 1991 Obligations	FY 1991 % of Total Dollars
Four-Year Private	43	$27,198,775	34.0%	41	$30,321,875	31.8%	43	$33,788,427	33.9%
Four-Year Public	40	34,585,508	43.2	41	44,758,200	46.9	39	45,109,118	45.3
Two-Year Private	6	2,312,613	2.9	6	2,100,000	2.2	6	2,100,000	2.1
Two-Year Public	9	5,011,104	6.3	10	6,717,925	7.0	10	6,832,313	6.9
Graduate*	5	10,868,888	13.6	5	11,468,000	12.0	5	11,710,848	11.8
Total	103	$79,976,888	100.0%	103	$95,366,000	100.0%	103	$99,540,706	100.0%

* The five black graduate institutions.

Institutional Type and Control	FY 1992 Number of Awards	FY 1992 Obligations	FY 1992 % of Total Dollars	FY 1993 Number of Awards	FY 1993 Obligations	FY 1993 % of Total Dollars
Four-Year Private	43	$38,178,337	34.2	44	$37,565,076	34.2
Four-Year Public	39	51,512,154	46.1	39	50,086,109	45.7
Two-Year Private	6	2,371,411	2.1	6	3,000,000	2.7
Two-Year Public	11	7,957,973	7.1	11	7,556,815	6.9
Graduate*	5	11,711,000	10.5	5	11,501,000	10.5
Total	104	$111,730,875	100.0%	105	$109,709,000	100.0%

Source: III.1

- In FY 1992, 13 institutions received $350,000, the minimum level for awards at that time. Some of these schools have less than 200 students, resulting in an award per student in excess of $1,750. In FY 1993, 26 institutions received the new minimum award level of $500,000, resulting in awards exceeding $2,500 per student at some schools.

- Over the seven-year period of funding (1987-1993), there has been an increase in the size of awards received through the program. This is shown by the increase of awards exceeding 1 million dollars, from 1987 to 1993, the number of awards over 1 million dollars increased from 1 to 49.

TABLE 2

NUMBER OF INSTITUTIONS BY SIZE OF AWARD

Range of Awards To Institutions by Year and Amount

	$350,000 500,000	500,001- 1,000,000	1,000,000 and Above	TOTALS	Average Award
1987	57	45	1	103	$502,339
1988	23	67	11	101	724,376
1989	21	68	14	103	776,475
1990	17	58	28	103	925,883
1991	17	51	35	103	966,415
1992	13	46	45	104	1,074,335
1993	26*	30	49	105	1,044,848

*Minimum award increased from $350,000 to $500,000 in FY 1993. These institutions each received $500,000.

Source: III.1.

Management Improvement Strategies

Technical assistance workshops were held to improve continuing applications and projects.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

An evaluation of the Title III programs is planned to begin in FY 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Caroline J. Gillin, (202) 708-8816
Program Studies	:	Jim Maxwell, (202) 401-0182

ENDOWMENT CHALLENGE GRANTS
(TITLE III, PART C)
(CFDA No. 84.031)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title III, Part C, P.L. 96-374, as amended by P.L. 99-498, P.L. 100-50, and P.L. 102-325. (20 U.S.C. 1065a) (expires September 30, 1997).

Purpose: To match endowments raised by eligible higher education institutions that have limited financial resources and serve significant percentages of low-income and minority students.

Funding History

Fiscal Year	Appropriation 1/
1984	$ 7,120,000
1985	15,600,000
1986	22,210,000
1987	19,785,000
1988	19,148,000
1989	12,696,000
1990	17,893,000
1991	17,461,773
1992	7,500,000
1993	7,366,000
1994	7,565,000

1/ Endowment appropriation only, does not include the previously funded challenge grant program. The Endowment Challenge Grant Program was first funded in FY 1984.

II. PROGRAM INFORMATION AND ANALYSIS

Services

Endowment Challenge Grants encourage eligible institutions to establish or increase institutional endowment funds. The Federal grant and the institution's matching funds (which together make up the endowment corpus) must be invested in low-risk securities, such as a federally insured bank savings account or a comparable interest-bearing account, certificate of deposit, money market fund, or mutual fund. For a 20-year period after the grant is awarded, institutions may not spend the endowment corpus, but may spend up to one-half of the interest earned on any institutional expense.

Two-year, four-year, or graduate institutions that are eligible for Part A, Part B, or Part B Sec. 326 grants (see chapters 515 and 516) are also eligible for endowment challenge grants. Institutions are also eligible if they make a substantial contribution to graduate or postgraduate medical educational opportunities for minorities and the economically disadvantaged. Institutions that receive an Endowment grant must wait out five or ten years before receiving another grant. The minimum grant must be at least $50,000 and the maximum grant is either $500,000, $1.0 million or $1.5 million based on the appropriation. These grants require one matching institutional dollar for every two Federal dollars. As of FY 1993, 25 percent of funds are set aside for HBCUs. The program has 3 years to obligate fiscal year funds. Most of the funds are obligated in the appropriation year, but if an institution fails to match, the funds are reallocated.

Analysis of Table 1 reveals the following concerning the distribution of Part C funds:

- o Total funding decreased significantly between FY 1991 and FY 1992, from $17.6 from $7.5 million.

- o Most of the funds, over 68 percent, went to 2-year schools in FY 1993, a decrease from 83 percent in FY 1991.

- o Support for HBCUs was significantly increased with the legislative set-aside in FY 1993; four HBCUs were funded which is a significant increase over FY 1992 when one was funded.

- o Support for Hispanic institutions went from four awards in FY 1992 to none in FY 1993.

- o One American Indian institution received an award in FY 1991 but none received support in FY 1992 and FY 1993.

Management Improvement Strategies

A national conference was held that included technical assistance workshops to improve proposals and projects. Mini-workshops were held in several locations around the country to provide technical assistance in program and grants maintenance to grantees with 20-year-duration grants.

TABLE 1

ENDOWMENT CHALLENGE GRANTS PROGRAM OBLIGATIONS BY INSTITUTIONAL RACIAL/ETHNIC IDENTIFICATION AND INSTITUTIONAL TYPE AND CONTROL FISCAL YEARS 1990 THROUGH 1993

	FY 1990[1]			FY 1991[2]			FY 1992[3]			FY 1993[4]		
Institutional Racial/Ethnic Identification	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars	Number of Awards	Obligations	% of Total Dollars
Historically Black	3	$4,311,754	23.4%	1	$1,000,020	5.7%	1	$50,000	0.7%	4	$1,800,000	25.0%
White	13	9,375,278	51.0	12	10,571,753	60.2	15	5,450,000	72.7	13	5,400,000	75.0
American Indian	1	2,445,968	13.3	1	4,000,000	22.8	0	0	0.0	0	0	0.0
Hispanic	4	2,260,000	12.3	1	2,000,000	11.4	4	2,000,000	26.7	0	0	0.0
Total	21	$18,393,000	100.0%	15	$17,571,773	100.0%	20	$7,500,000	100.0%	17	$7,200,000	100.0%
Type and Control												
Four-Year Private	8	$9,771,754	53.1%	1	$2,000,020	11.6%	5	$2,500,000	33.3%	4	$1,800,000	25.0%
Four-Year Public	1	2,000,000	10.9	0	0	0.0	0	0	0.0	1	500,000	6.9
Two-Year Private	0	0	0.0	1	1,000,000	5.8	1	150,000	2.0	0	0	0.0
Two-Year Public	12	6,621,246	36.0	13	14,571,753	82.6	14	4,850,000	64.7	12	4,900,000	68.1
Total	21	$18,393,000	100.0%	15	$17,571,773	100.0%	20	$7,500,000	100.0%	17	$7,200,000	100.0%

Source: Program data.

Note: The predominant race or ethnicity is defined as an institution that has more than 50 percent of its students of that race or ethnicity.

1. Tarkio closed, so the $500,000 obligated to Tarkio in FY86 was reobligated in FY90.

2. Funds from an unmatched challenge grant of $28,910 plus a FY85 gant to Livingstone of $103,992 was reallocated in FY91. Funds of $22,902 remain to be reallocated in a future fiscal year.

3. Institutions funded in FY 1992 had until March 1994 to match their grant.

4. Institutions funded in FY 1993 have until March 1995 to match their grant. The $206,902 plus $21,813 caryover from FY89 left unobligated can be reobligated until March 1995.

BEST COPY AVAILABLE

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

An evaluation of the Title III programs is planned to begin in FY 1995. As study of investment strategies for developing institutions got underway at the beginning of FY 1995. Findings are expected by October 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Caroline J. Gillin, (202) 708-8816

Program Studies : Jim Maxwell, (202) 401-0182

MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAMS (MSIP)
(CFDA No. 84.120)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title X, Part B, Sections 1021-1047, as amended (20 U.S.C. 1135b-1135d-6) (expires September 30, 1997).

Purpose: To improve science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic minorities in scientific and technological careers.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1972	$5,000,000	1987	$5,000,000
1975	5,000,000	1988	5,266,000
1980	5,000,000	1989	5,307,000
1981	5,000,000	1990	5,416,000
1982	4,800,000	1991	5,855,000
1983	4,800,000	1992	6,000,000
1984	4,800,000	1993	5,892,000
1985	5,000,000	1994	5,892,000
1986	4,785,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Private and public two-year and four-year institutions of higher education are eligible for Minority Science and Engineering Improvement Programs (MSIP) grants if their enrollments are predominantly (50 percent or more) American Indian, Alaskan native, black, Hispanic, Pacific Islander, or any combination of these or other ethnic minorities who are underrepresented in science and engineering. Nonprofit, science-oriented organizations and professional scientific societies are also eligible if they provide a needed service to a group of institutions eligible for MSIP, including in-service training for project directors, scientists, or engineers.

Table 1

DISTRIBUTION OF FUNDS BY RACIAL OR ETHNIC GROUP FOR FYs 1990-1993

Racial or Ethnic Group[1]	Number of Eligible Institutions	FY 1990		FY 1991		FY 1992		FY1993		Total	
		Amount	Schools[2]	Amount	Schools[2]	Amount	Schools[2]	Amount	Schools[2]	Amount	Schools[2]
Alaskan Native	4	$ 19,850	1	$ 0	0	$ 0	0	$ 0	0	$ 19,850	1
American Indian	28	821,085	5	621,966	5	1,154,362	5	440,637	3	3,038,050	13
Historically Black	100	2,213,217	16	3,311,146	20	3,160,957	17	2,982,770	26	11,668,090	54
Predominantly Black	27	262,484	1	264,437	1	0	0	164,572	1	691,493	2
Hispanic (Mexican)	27	282,611	2	0	0	49,998	1	164,677	1	497,286	3
Puerto Rico	43	765,496	3	538,212	4	581,896	3	1,161,360	7	3,046,964	12
Pacific Islander/Asian	4	0	0	0	0	0	0	108,700	1	108,700	1
Combination	35	841,490	5	906,918	6	849,141	4	733,299	7	3,330,848	18
Non Minority	-	92,993	2	212,200	3	187,635	2	24,983	2	617,811	8
Total	268	$5,399,226	35	$5,854,879	39	$5,983,989	32	$5,780,998	48	$23,019,092	112

1. Predominant racial or ethnic group is defined as 50 percent or more students enrolled from that group.

2. Some schools receive more than one award under this program so number of schools on Table 1 is a smaller number than number of awards on Table 2.

Source: III.1.

As shown in Table 1, 32 to 48 of the eligible minority institutions received funding in a given year. Over the four years from 1990 through 1993, 39 percent of the 268 eligible institutions received funding. Over this period, 54 percent of the Historically Black institutions, 46 percent of the American Indian institutions, and 51 percent of combination institutions received funding. By contrast, only 7 percent of the predominantly black institutions received funding.

Services

As presented in Table 2, four categories of grants are supported with MSIP funds:

- Institutional Project grants provide assistance to individual minority institutions to support implementation of comprehensive science improvement plans, which may include any combination of activities designed to improve the preparation of minority students for careers in science. These grants have a maximum duration of three years and a maximum award size of $300,000.

- Cooperative Project grants assist groups of nonprofit, accredited colleges and universities to work together to conduct science improvement projects. These grants have a maximum duration of three years and a maximum award size of $500,000.

- Design Project grants provide assistance to minority institutions to plan and develop long-range science improvement programs. The grants have a maximum duration of one year and an award size of up to $20,000.

- Special Project grants support activities that improve the quality of training in science, mathematics and engineering; enhance minority institutions' general scientific research capabilities; provide needed services to groups of eligible minority institutions; or provide inservice training for project directors and faculty from eligible minority institutions. These grants have a maximum duration of two years and a maximum award size of $150,000.

Over $23 million has been appropriated for MSIP from FY 1990 through FY 1993. Most of that appropriation has funded institutional project grants, which represented approximately 62 percent of the appropriation in FY 1990 and has grown to 80 percent in FY 1993. The average size of the institutional grants grew slightly from $240,000 in FY 1990 to $255,000 in FY 1992, but dropped to $150,000 in FY 1993. The drop in FY 1993 was caused by a level of funding similar to FY 1992 being distributed to an increased number of grantees.

Table 2

DISTRIBUTION OF FUNDS UNDER THE MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAMS, FISCAL YEARS 1990 THROUGH 1993

1990	1991	1992		1993		Total				Maximum	
Type of Award	Size and Duration	Amount	Awards	Amount	Awards	Amount	Awards	Amount	Awards	Amount	Awards
Institutional Projects	$300,000 3 years	$3,361,948	14	$3,944,916	16	$4,327,227	17	$4,649,581	31	$16,283,672	78
Cooperative Projects	$500,000 3 years	898,901	2	473,429	1	896,799	2	653,722	3	2,922,851	8
Design Projects	$20,000 1 year	35,548	2	36,610	2	19,500	1	0	0	91,658	5
Special Projects	$150,000 2 years	1,102,829	20	1,399,924	26	740,463	14	477,695	16	3,720,911	76
Total		$5,399,226	38	$5,854,879	45	$5,983,989	34	$5,780,998	50	$23,019,092	167

Source: III.1.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Argelia Velez-Rodriguez, (202) 260-3258

Program Studies : Jim Maxwell, (202) 401-0182

LAW SCHOOL CLINICAL EXPERIENCE PROGRAM
(CFDA No. 84.097)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title IX, Part G, Sections 971-72, as amended by Public Law 102-325 (20 U.S.C. 1134u-1134v) (expires September 30, 1997).

Purpose: To continue, expand, and establish programs in accredited law schools that provide clinical experience in the practice of law, with absolute preference given to programs that provide legal experience in the preparation and trial of actual cases (including both administrative cases and out-of-court settlements) and to programs providing service to persons who have difficulty in gaining access to legal representation.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1978	$1,000,000	1987	$1,500,000
1979	2,000,000	1988	3,830,000
1980	4,000,000	1989	3,952,000
1981	3,000,000	1990	4,935,000
1982	960,000	1991	5,855,000
1983	605,000	1992	8,000,000
1984	1,000,000	1993	9,920,000
1985	1,500,000	1994	14,920,000
1986	$1,435,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

There were 55 new and 35 continuation grants awarded this year. The 90 recipients included 83 institutions and two consortia, or 47 percent of all 176 accredited law schools. The average award per grantee increased from $80,581 in FY 1992 to $111,460 in FY 93.

Services

Each year, students at participating institutions provide legal assistance to disadvantaged clients. Students gain experience in handling legal problems in such areas as the elderly, indigent parents, the homeless, the handicapped, the disadvantaged, families with problems, victims of domestic abuse, immigrants and refugees, and individuals with AIDS.

Program Administration

The Department monitors and provides technical assistance to 35 percent of the ongoing projects each fiscal year. A national evaluation workshop on the Law School Clinical Experience Program is planned for May 1994.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: John J. Lank, (202) 260-3245

Program Studies : Frank Forman, (202) 401-0182

ASSISTANCE FOR TRAINING IN THE LEGAL PROFESSION
(CFDA No. 84.136)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title IX, Part F, Section 961, as amended by P.L. 102-325 (20 U.S.C. 1134s) (expires September 30, 1997).

Purpose: To help minority, low income, or educationally disadvantaged college graduates successfully pursue a law degree and serve in the legal profession by supporting law school preparation and providing stipends.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$ 750,000	1987	1,500,000
1975	750,000	1988	1,915,000
1980	1,000,000	1989	1,892,000
1981	1,000,000	1990	2,468,000
1982	960,000	1991	2,928,000
1983	1,000,000	1992	3,045,000
1984	1,000,000	1993	2,991,000
1985	1,500,000	1994	2,991,000
1986	1,435,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program is administered by a single grantee, the Council on Legal Education Opportunity (CLEO). All program participants must qualify as college graduates who are minority, low income, or educationally disadvantaged. Financial (low income) eligibility is determined by information provided by applicants on the Free Application for Federal Student Aid (FAFSA). Academic qualifications reflecting the probability of success in law school also are required.

Services

Working through participating law schools, CLEO helped 142 students from disadvantaged backgrounds gain admission to law school in 1993. These students joined the 144 second-year and 157 third-year participants. Stipends for all students increased from $4,400 in FY 1992 to $5,050 in FY 1993. For FY 1994, different stipends were awarded, depending on the year in law school: $6,000 to first-year students, $5,200 to second-year students, and $5,000 to third-year students. In addition, some participating law schools waive all or part of tuition and fees for program fellows. In an effort to better assure the academic success of CLEO Fellows, a comprehensive student retention initiative is underway that will provide tutorial and mentoring services by CLEO alumni.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

While not a formal study, the CLEO Alumni Identification and Location Project, which is an integral part of the new student retention initiative, should result in the acquisition of data regarding the employment, income, additional education, and other data of past CLEO participants.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	Janice Wilcox, (202) 260-3207
Program Studies :	Frank Forman, (202) 401-0182

PATRICIA ROBERTS HARRIS FELLOWSHIP PROGRAM
(CFDA No. 84.094)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part B, as amended by P.L. 103-208 (20 U.S.C. 1134d-1134g) (expires September 30, 1997).

Purpose: To provide grants for master's level, professional, and doctoral study to women and individuals from minority groups who are underrepresented in such programs, and who demonstrate financial need.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1981	$12,000,000	1988	$18,525,000
1982	10,560,000	1989	19,031,000
1983	11,920,000	1990	19,311,000
1984	13,500,000	1991	20,764,000
1985	14,250,000	1992	20,800,000
1986	13,638,000	1993	20,427,000
1987	14,250,000	1994	20,427,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Fellowships are awarded to support financially needy minorities and women in fields in which they are underrepresented in master's, professional and doctoral study. The institution establishes a fellow's financial need in accordance with Part F of Title IV of the Higher Education Act, as amended.

Services

In FY 1993, new Harris fellows are eligible for stipends of up to $14,000 for a 12-month period. There is also an institutional allowance of $9,000 per student to cover tuition and other expenses.

In FY 1992, the maximum stipend was limited to $10,000 for a 12-month period. The institutional allowance was limited to $6,000. The average fellowship, which included both the student stipend and the institutional allowance, was less than the $16,000 maximum award because not all awards are made for the maximum 12-month period, and because awards are based on financial need.

Fellowship awards for master's or professional study are made for the normal period of time for completing the program, or a total of 3 years, whichever is less; however, fellows may receive an additional period of fellowship support for up to 12 months if a special justification is accepted by the Secretary. Fellowship awards for doctoral study may not exceed a total of 3 years, consisting of not more than 2 years of support for study or research, and not more than one year of support for dissertation work. The institution must provide 2 years of support for each grantee, including at least 1 year of supervised teaching, following the 2 years of predissertation support.

The total number of new master's and professional awards for FY 1992 was 111; 246 new doctoral awards were made. In FY 1993, 218 new master's and professional awards were made; 266 new doctoral awards were made.

Management Improvement Strategies

The Department is currently developing an automated system to track Patricia Roberts Harris fellows. A student confirmation form has been designed to collect necessary data. This will be used in conjunction with performance report data, for which a reporting form has also been developed, to profile the program in detail.

III. SOURCES OF INFORMATION

1. Program files.
2. Each year the Office of Postsecondary Education (OPE) publishes a Funding Directory containing information on grantees.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Cosette Ryan, (202) 260-3608

Program Studies : Gregory Henschel, (202) 401-0182

FULBRIGHT-HAYS TRAINING GRANTS PROGRAM
(CFDA Nos. 84.018, 84.019, 84.020, 84.021, 84.022)

I. PROGRAM PROFILE

Legislation: Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act), Section 102(b)(6), P.L. 87-256 (22 U.S.C. 2452 (b)(6)) (no expiration date).

Purpose: To fund, promote, develop and improve modern language and area studies throughout the educational structure of the United States by supporting overseas research, training, and curriculum development projects focused on languages and areas of the world underrepresented in American education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$3,000,000	1986	$5,263,000
1970	2,430,000	1987	5,500,000
1975	2,700,000	1988	5,266,000
1980	3,000,000	1989	5,203,000
1981	6,200,000	1990	5,136,000
1982	4,800,000	1991	5,855,000
1983	5,000,000	1992	6,000,000
1984	5,500,000	1993	5,843,000
1985	5,500,000	1994	5,843,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting and Services

The Fulbright-Hays Act funds four programs: Group Projects Abroad, Doctoral Dissertation Research Abroad, Faculty Research Abroad, and Special Bilateral Projects. Each targets a different population.

- Group Projects Abroad awards grants to institutions of higher education, State departments of education, and private, nonprofit educational organizations to conduct overseas group projects in research, training, and curriculum development in modern foreign language and area studies. Participants in the group projects are faculty members, teachers, graduate students, and undergraduates in their junior or senior year.

- Doctoral Dissertation Research Abroad provides support for graduate students admitted to doctoral degree candidacy in modern foreign language and area studies at U.S. institutions of higher education. Eligibility is restricted to students who possess the language skills necessary to carry out the dissertation project, who plan a teaching career in the United States upon graduation, and who are United States citizens, permanent residents, or intend to become permanent residents of the United States.

- Faculty Research Abroad provides support for faculty members at U.S. institutions of higher education to conduct research abroad in modern foreign language and area studies.

- Special Bilateral Projects provides funding for seminars abroad on topics in the social sciences, humanities, and foreign languages. The program targets undergraduate faculty members, administrators, supervisors, and curriculum specialists of State or local education agencies with responsibility for the social sciences, elementary and secondary school social studies teachers and supervisors, and teachers of foreign languages.

Program Administration

Tables 1 and 2 profile each of the four programs for FY 1992 and FY 1993, including details on the number of projects and participants, average awards per project, and budget authority.

In FY 1993, the largest share of program funds (38 percent) went for the Group Projects Abroad program followed by the Doctoral Dissertation Research Abroad program (30 percent), and then the Faculty Research Abroad (15 percent) and Special Bilateral Projects programs (16 percent). These proportions are approximately the same as those in FY 1992.

Table 1
FY 1992 Program Information

Program	Number of Projects	Number of Participants	Average $Award	Budget Authority	USIF Rupees
Group Projects Abroad	36	570	$64,306	$2,315,000	Rs. 8,978,000
Doctoral Dissertation Research Abroad	67	67	26,797	1,768,000	2,931,072
Faculty Research Abroad	24	24	37,334	896,006	706,732
Seminars Abroad Projects	8	121	109,875	879,000	2,000,000
Total	144	782[1]		$6,000,000[2]	Rs.14,615,804[3]

1. Indian Rupees supported an additional 82 participants.
2. Does not include a grant of $100,000 to the Committee for Scholarly Communications with China and $41,379 for administration. These figures are also not included in the computation of the average award.
3. Appropriated funds were supplemented with Indian rupees from the United States-India Fund (USIF). To convert rupees to dollars for FY 1992, divide by 26. Rupee support was excluded when computing the number of projects, participants, and average awards.

Source: III.1.

Table 2
FY 1993 Program Information

Program	Number of Projects	Number of Participants	Average $Award	Budget Authority	USIF Rupees
Group Projects Abroad	40	653	$55,836	$2,233,437	Rs. 8,463,780
Doctoral Dissertation Research Abroad	60	60	29,468	1,768,074	2,473,360
Faculty Research Abroad	24	24	36,503	876,077	1,077,480
Seminars Abroad Projects	8	114	115,537	924,292	2,092,900
Total	132	851[1]		$5,834,000[2]	Rs.14,107,520[3]

1. Indian Rupees supported an additional 111 participants.
2. Does not include $41,000 for administration. This figure is also not included in the computation of the average award.
3. Appropriated funds were supplemented with Indian rupees from the United States-India Fund (USIF). To convert rupees to dollar for FY 1993, divide by 30. Rupee support was excluded when computing the number of projects, participants, and average awards.

Source: III.1.

The United States Information Agency (USIA) was paid $38,000 in FY 1992 and $41,000 in FY 1993 for administrative services in support of grant programs. These services were provided by overseas diplomatic missions and by national commissions.

With the exception of bilateral projects that are administered by multinational Fulbright Commissions, Fulbright-Hays Training Grants programs are administered by United States institutions of higher education and, in some cases, State departments of education and nonprofit educational organizations.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Joseph Belmonte, (202) 708-7283

Program Studies : Gregory Henschel, (202) 401-0182

INTERNATIONAL EDUCATION AND FOREIGN LANGUAGE STUDIES
(CFDA Nos. 84.015, 84.016, 84.017, 84.153, 84.220, 84.229, 84.251)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title VI, as amended (20 U.S.C. 1121-1130b) (expires September 30, 1997).

Purpose: To establish programs that support national resource centers; graduate fellowships; research, business, and international education programs; and grants for international and foreign language studies at both the graduate and undergraduate levels.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$15,800,000	1986	$25,408,000
1970	13,002,000	1987	27,550,000
1975	11,300,000	1988	25,419,000
1980	17,000,000	1989	25,855,000
1981	19,800,000	1990	34,658,000
1982	19,200,000	1991	40,012,000
1983	21,000,000	1992	47,480,000
1984	25,800,000	1993	49,283,000
1985	26,500,000	1994	59,126,000

II. PROGRAM INFORMATION AND ANALYSIS

Services

The International Education and Foreign Language Studies program includes eight different components. Each is intended to strengthen language, area and international studies throughout the educational structure of the United States but primarily at institutions of higher education.

- National Resource Centers (NRC) program provides grants to institutions of higher education to establish, operate, and strengthen graduate and undergraduate centers that focus on modern foreign languages, world areas and global issues. Each center offers instruction and conducts research related to particular regions and issues.

  Foreign Language and Area Studies (FLAS) Fellowships program provides grants to selected institutions of higher education enabling them to offer academic year and summer awards to graduate students. Awards are used for a combination of modern foreign language study and area study, or language and international or professional study; or for dissertation research.

  Undergraduate International Studies and Foreign Language program provides awards to institutions of higher education and consortia which are used to plan, develop, and implement programs to strengthen and improve undergraduate instruction in international studies and foreign languages.

  International Research and Studies program awards grants to institutions of higher education, public and private agencies, and organizations and individuals to conduct research, surveys, and studies to improve and strengthen instruction in modern foreign languages, area studies, and other international fields.

  Business and International Education program provides matching grants to institutions of higher education for projects carried out in partnership with business enterprises, trade organizations, or associations engaged in international trade. These projects are designed to enhance international studies programs at colleges and universities, and to expand the capacity of the business community to engage in commerce abroad.

  Centers for International Business Education program provides grants to eligible institutions of higher education, or combinations of these institutions, to pay the Federal share of the cost of planning, establishing, and operating multidisciplinary educational centers on international trade. These centers are to serve as a national resource for the teaching of improved business strategies, to provide instruction in critical foreign languages, and to support research and training in international trade.

  Language Resource Centers program provides grants to institutions of higher education to carry out activities to improve the teaching and learning of foreign languages. Projects under this award category include the development of new materials, the development and application of proficiency testing, the training of teachers in the administration and interpretation of proficiency tests, the use of effective teaching strategies and new technologies, the publication of instructional materials in less commonly taught languages, and the dissemination of research results, teaching materials, and the development of improved pedagogical strategies.

Foreign Periodicals program provides grants to institutions of higher education, public or nonprofit private library institutions to acquire periodicals and other research materials produced and published outside the United States that are not commonly held by American academic libraries; preserve the acquired materials; make the material available to researchers and scholars and maintain bibliographic information on the acquired materials in machine readable form and enter that information into one or more of the widely available bibliographic data bases.

Program Administration

The following data summarize funding in FY 1991, FY 1992, and FY 1993 for each of the eight different international education programs. There has been little change in the relative funding of the programs between FY 1991 and FY 1993. The National Resource and FLAS Fellowships programs receive the majority of funds but the Language Resource Centers and Foreign Periodicals programs have received the largest proportional increases in recent years.

TABLE 1
PROGRAM INFORMATION FOR FISCAL YEARS 1991 THROUGH 1993

National Resource Centers	FY 1991	FY 1992	FY 1993
Number of centers	105	105	110
Average award	$136,000	$164,527	$164,441
Budget authority	$14,250,000	$17,275,375	$18,088,500
Foreign Language and Area (FLAS) Fellowships			
Number of programs with fellow allocations	133	134	136
Number of academic year fellowships	610	650	634
Average academic year award	$16,000	$17,435	$17,516
Number of summer award	420	440	446
Average summer award	$3,315	$3,789	$3,726
Budget authority	$11,152,500	$12,999,912	$12,767,000
Undergraduate International Studies and Foreign Language			
Number of programs	56	67	65
Average award	$56,991	$60,933	$60,761
Budget authority	$3,191,500	$4,082,500	$3,949,475
International Research and Studies			
Number of projects	32	27	24
Average award	$72,000	$82,572	$93,206
Budget authority	$2,316,625	$2,229,442	$2,236,940
Business and International Education			
Number of projects	43	42	41
Average Award	$68,221	$72,417	$76,974
Budget authority	$2,933,500	$3,041,500	$3,155,934

Center for International Business Education	FY 1991	FY 1992	FY 1993
Number of projects	16	23	25
Average award	$364,746	$267,704	$260,103
Budget authority	$5,835,935	$6,157,183	$6,502,591

Language Resource Centers			
Number of projects	3	3	4
Average award	$414,000	$400,000	$400,000
Budget authority	$1,242,000	$1,200,000	$1,600,000

Foreign Periodicals			
Number of Projects	-	11	16
Average award	-	$45,455	$16,380
Budget authority	-	$500,000	$982,080

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Joseph Belmonte, (202) 732-6061

Program Studies : Gregory Henschel, (202) 401-0182

COOPERATIVE EDUCATION
(CFDA No. 84.055)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title VIII, Sections 801-804, as amended by P. L. 102-325 (20 U.S.C. 1133-1133c) (expires September 30, 1997).

Purposes: The encouragement of (1) the planning, establishing, operating, and expanding of cooperative education projects in higher education institutions; (2) projects demonstrating or determining the feasibility and value of innovative methods of cooperative education; (3) projects training persons to conduct cooperative education programs; and (4) research into methods of improving, developing, or evaluating cooperative education programs in institutions of higher education.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1970	$ 1,540,000	1987	14,400,000
1975	10,750,000	1988	13,787,000
1980	15,000,000	1989	13,622,000
1981	23,000,000	1990	13,445,000
1982	14,400,000	1991	13,175,000
1983	14,400,000	1992	14,000,000
1984	14,400,000	1993	13,749,000
1985	14,400,000	1994	13,749,000
1986	13,781,000		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting and Services

Cooperative Education programs have alternating or parallel periods of academic study and employment related to the student's academic programs or professional goals. Of the 187 new and continuation awards made in FY 1993, 172 were administration grants (62 new and 110 continuation awards), totaling $12,091,330; seven were training grants (one new and six continuation), totaling $823,564; three were research grants (one new and two continuation), totaling $314,184; and five were demonstration grants (two new and three continuation), totaling $476,102.

In the case of administration grants, program funds are used by institutions of higher education to pay for the costs of administering cooperative education projects. These funds help pay for salaries of cooperative staff and faculty, travel costs, and other direct costs needed to administer the projects.

Funds are also awarded to institutions of higher education and nonprofit organizations to train college and university personnel as well as private sector employers wishing to hire co-op students. In addition, funds are awarded for research and demonstration projects.

As shown in Table 1, 71 percent of program funds in FY 1993 were received by public institutions, 27 percent by private institutions, and two percent by nonprofit organizations and public agencies. Since FY 1991, larger proportions of the funds have gone to 4-year public institutions (up from 29 to 37 percent of the total), largely at the expense of 4-year private institutions (down from 33 to 24 percent of the total). Two-year public and private colleges have mostly maintained their share of funding.

Table 1

DISTRIBUTION OF AWARDS FOR COOPERATIVE EDUCATION PROGRAM BY TYPE AND CONTROL OF INSTITUTION FISCAL YEARS 1991-1993

Type and Control	1991 No.	Amount ($000s)	%	1992 No.	Amount ($000s)	%	1993 No.	Amount ($000s)	%
Public Higher Education									
Two-year	55	4,492	34	56	4,824	35	64	4,827	34
Four-year	53	3,888	29	56	4,825	35	69	5,381	37
Private Higher Education									
Two-year	3	218	2	6	493	4	5	348	3
Four-year	52	4,290	33	41	3,344	28	45	2,840	24
Non-profit organizations and public agencies	2	271	2	3	330	2	4	409	2
Total	165	13,159	100	168	13,816	100	187	13,705	100

Source: III.1.

Management Improvement Strategies

The program places a major emphasis on grant management, in conjunction with the Grants and Contracts Service of the Department and the Department's Regional Representatives, as well as on the primary processing of the awards themselves. The staff provides technical assistance to grantees and prospective applicants by explaining eligibility requirements and the application process. The staff also develops recommendations for program policies, regulations, and legislation.

The program has installed a PC database management system, devised by the program staff, for maintaining program records, including grant performance data. The system is enhanced by its access to EDNET, the Department's local area network, permitting direct electronic communication with major ED offices and units.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : John Bonas, (202) 260-3265

Program Studies : Frank Forman, (202) 401-0182

COLLEGE FACILITIES LOAN PROGRAM
(CFDA No. 84.142)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title VII, Part C, as amended (20 U.S.C. 1132d). (expires September 30, 1997.).

Purpose: Provides low-interest loans to assist institutions of higher education or higher education building agencies to construct, reconstruct, or renovate housing, academic facilities, and other educational facilities for students and faculty.

Funding History - Before FY 1987

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1977	$13,052,000	1983	$40,000
1980	13,857,000	1984	0
1981	279,000	1985	0
1982	232,000	1986	0

Funding History - After FY 1986

Fiscal Year	Borrowing Authority	Appropriation
1987	$60,000,000	$0
1988	62,231,000	0
1989	29,640,000	1,675,000
1990	30,000,000	5,129,000
1991	29,297,000	8,449,000
1992	30,000,000	11,693,000
1993	29,465,055	7,223,000
1994	0	6,615,000

Before FY 1987, appropriations were made to supplement amounts available in the program's revolving fund from repayments on prior loans and investment income from previously issued participation sales fund. The program's revolving fund, including the appropriation, supported new loan commitments, interest payments on U.S. Treasury obligations and participation certificates, and program operating expenses such as loan servicing. After FY 1986, the program's revolving fund has been used solely to support obligations on loans made prior to FY 1987. No new loans are being made from the revolving fund. Appropriations after FY 1986 have been utilized to support payments on post-1986 borrowing from the U.S. Treasury. New loans commitments after FY 1986 are supported through additional borrowing from the U.S. Treasury as annually authorized in Congressional appropriations bills.

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

- o Comparison of loan applications received and actual loans awarded
- o Number of fully disbursed loans by type of institution
- o Dollar value of fully disbursed loans by type of institution
- o Comparison of total number of loans outstanding to number of loans in default
- o Comparison of total value of loans outstanding to number of loans in default
- o Average size of new loans during the past six award years
- o Comparison of number and types of loans awarded during the past 6 years
- o Number and dollar value of loans outstanding by State
- o Fiscal 1993, number and amount of loans awarded by State; number of new loans, buildings and square feet; distribution of new loans by public/private institutions

Population Targeting

Graduate and undergraduate institutions of higher education

Services

The College Facilities Loan program provides institutions of higher education or higher education building agencies with direct, low-interest facilities loans. These loans are provided only to institutions unable to secure loan terms and conditions from other sources that are comparable to those offered by the program. Loans must be repaid within 30 years and currently bear an annual interest rate of 5.5 percent. Currently loans are targeted for construction and renovation of academic facilities.

In 1986, Congress authorized a private, for-profit insurance company, commonly referred to as Connie Lee, to insure and reinsure municipal bonds for education facilities. Thirty-five percent of Connie Lee's equity capital is owned by the Student Loan Marketing Association and 15 percent by the U.S. Department of Education and 50 percent by private investors. Connie Lee's organizational and start-up activities have resulted in minimal issuance of facilities loan insurance during the 1987-1991 period. Connie Lee's insurance volume should increase rapidly and will comprise a large percentage of insured facilities loan volume in the future. Increases in Connie Lee insurance volume are likely to reduce further required borrowing authority and appropriations for ED's College Facilities Loan Program.

Program Administration

Loans are awarded through an application process on the basis of formulae that consider a variety of factors, including current use of facilities and financial need. The Secretary of Education may announce priorities annually; from FY 1987 to FY 1992, priority had been placed upon housing construction and the reconstruction and renovation of academic facilities; during FY 1993, priority was placed upon reconstruction and renovation of existing academic facilities and construction of new academic facilities.

In administering the program, the Department of Education uses engineers under an interagency agreement with the Department of Health and Human Services to review and monitor projects to ensure project feasibility and compliance with architectural, engineering, and other building design requirements.

Outcomes

Table 1, below indicates that the total amount of loan commitments remained steady, at around $30 million, during the four-year period, FYs 1990-1993. Historically, loans have been made for both housing construction and academic facilities. The proportion of loans for academic facilities changed sharply in FY 1993 from about 50-60 percent of total loans to 100 percent. As noted in the previous section, this change was due to new Secretarial priorities and adoption of new criteria as published in Federal regulations.

Table 1

LOAN COMMITMENTS, FISCAL YEARS 1990-1993
(in thousands of dollars)

Year of Commitment	FY 1990		FY 1991		FY 1992		FY 1993	
Type of Award	Number	Amount	Number	Amount	Number	Amount	Number	Amount
Housing Construction	6	$14,565	7	$14,277	6	$14,500	0	$ 0
Academic Facilities	11	15,435	11	15,000	9	15,500	19	29,465
Total	17	$30,000	18	$29,277	15	$30,000	19	$29,465

Source: Program files.

TABLE 2

DEFAULT STATUS AS OF SEPTEMBER 30, 1991 and September 30, 1992

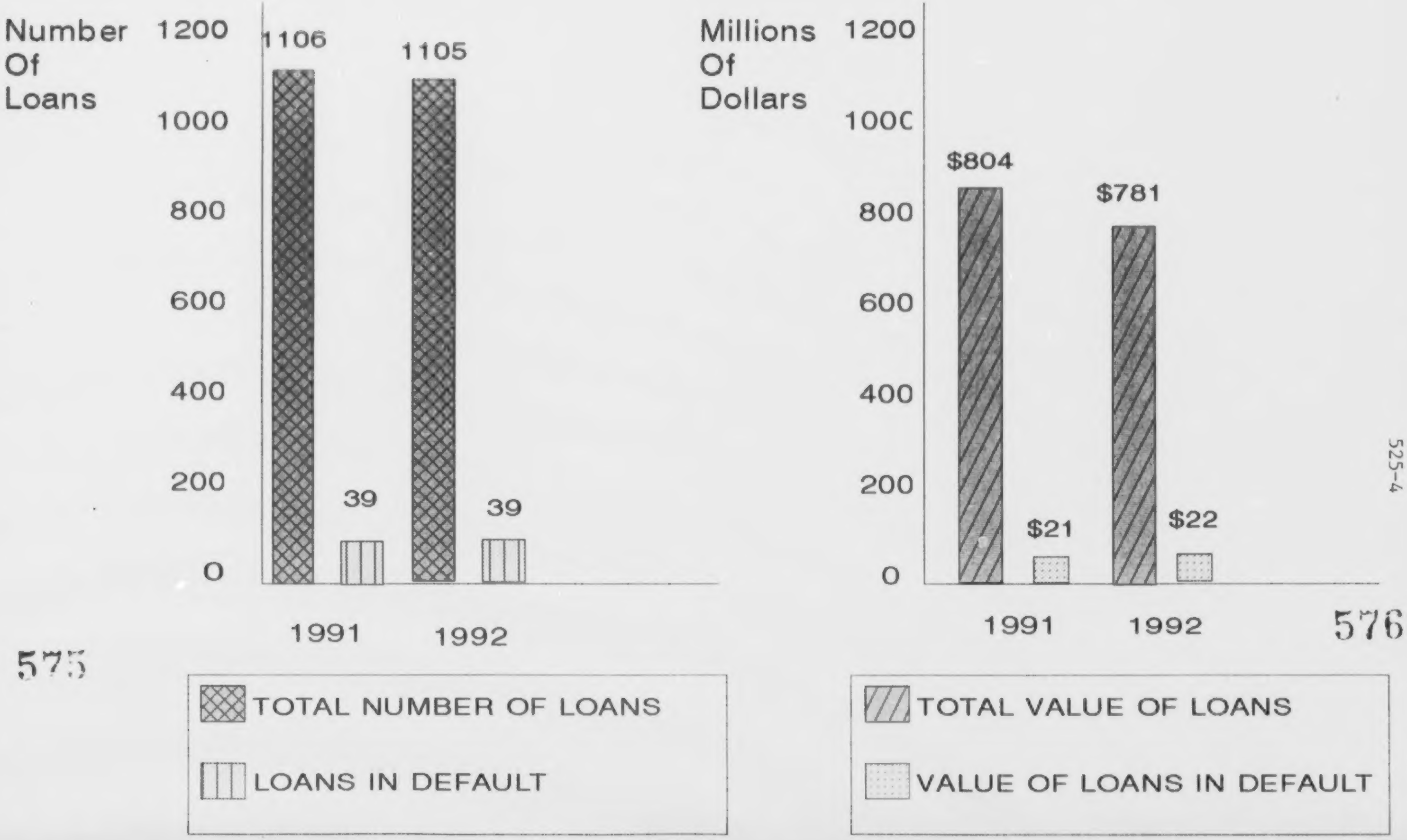


TABLE 3

NEW LOANS, BUILDINGS AND SQUARE FEET

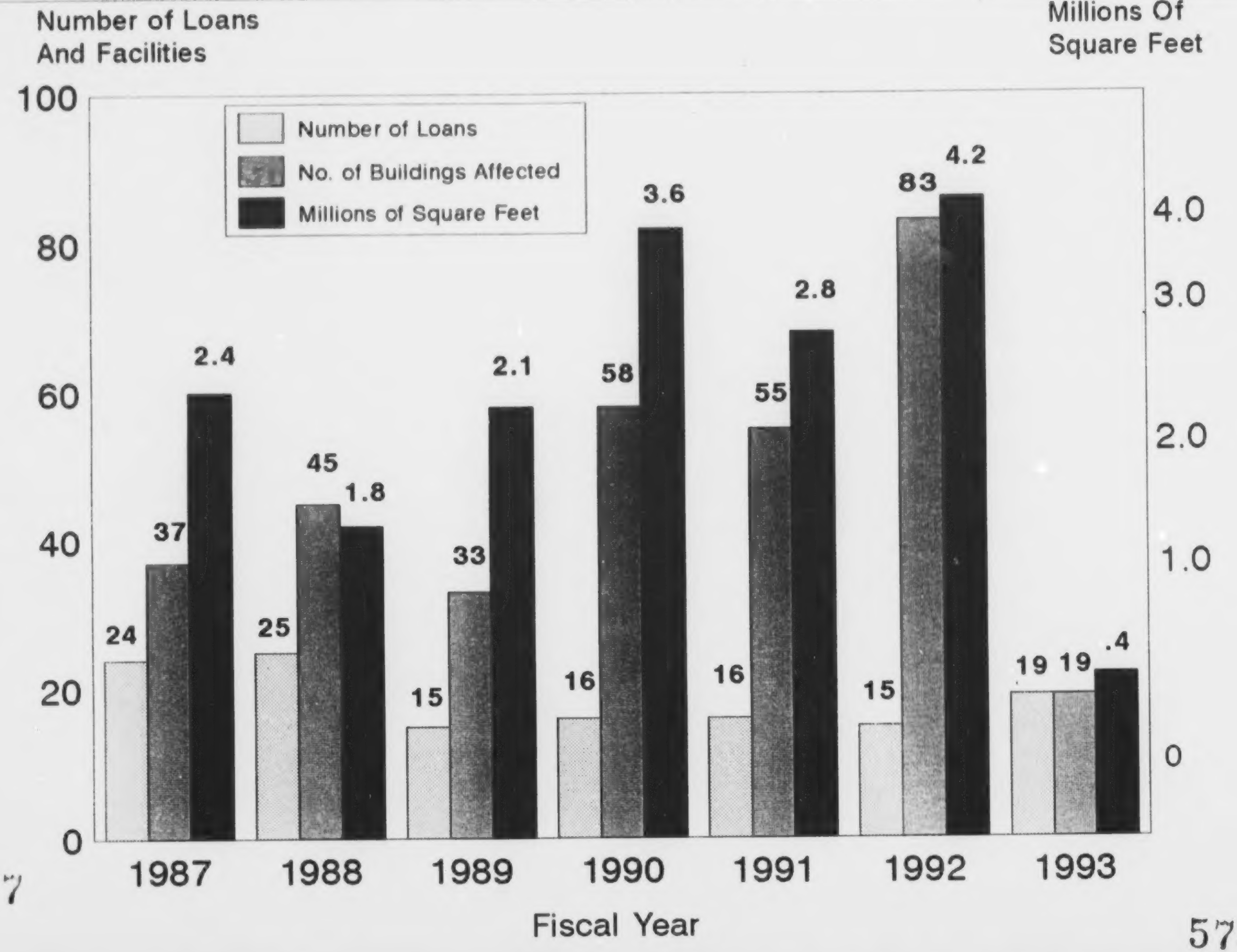
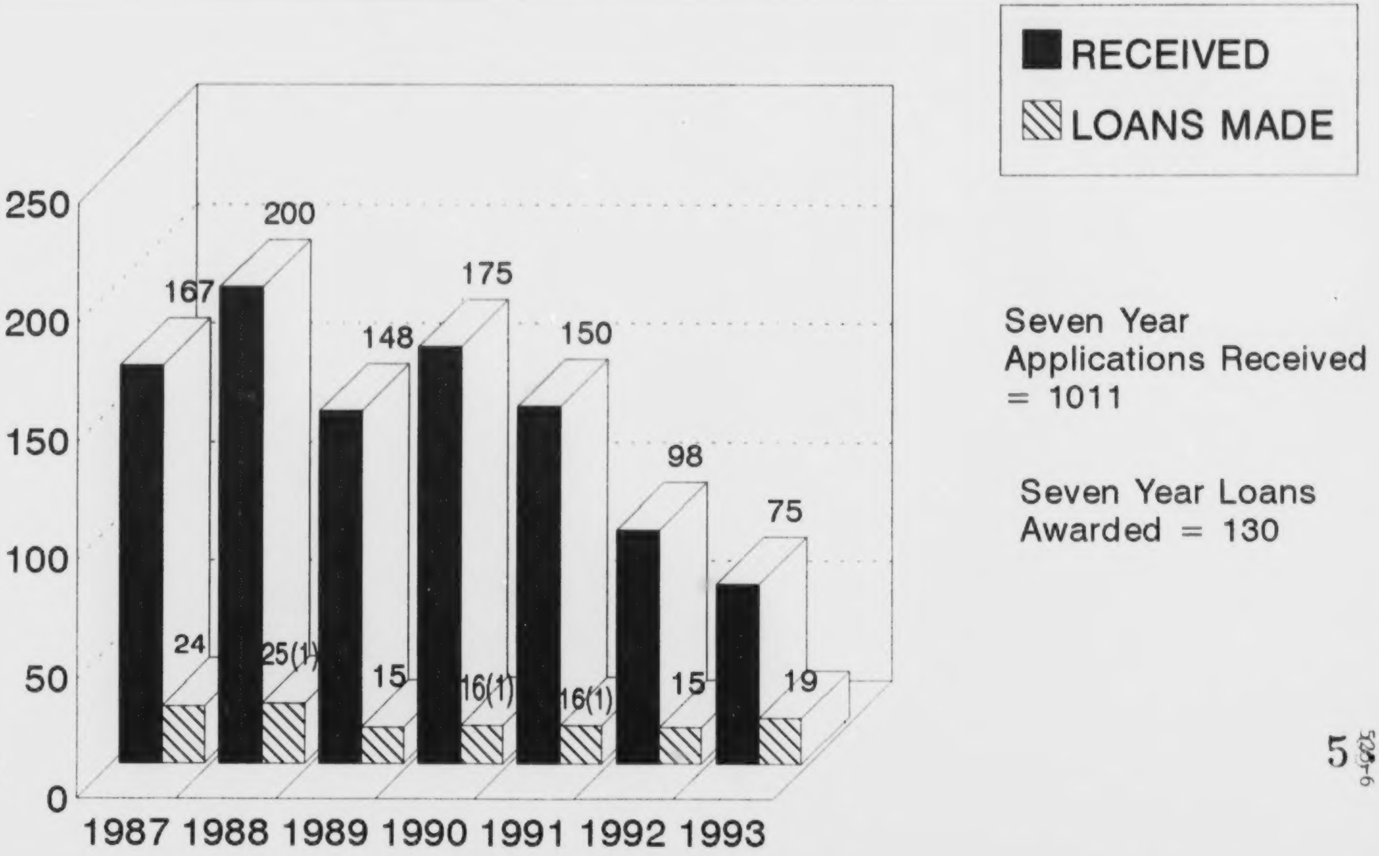


TABLE 4

APPLICATIONS RECEIVED AND LOANS AWARDED
IN RECENT YEARS



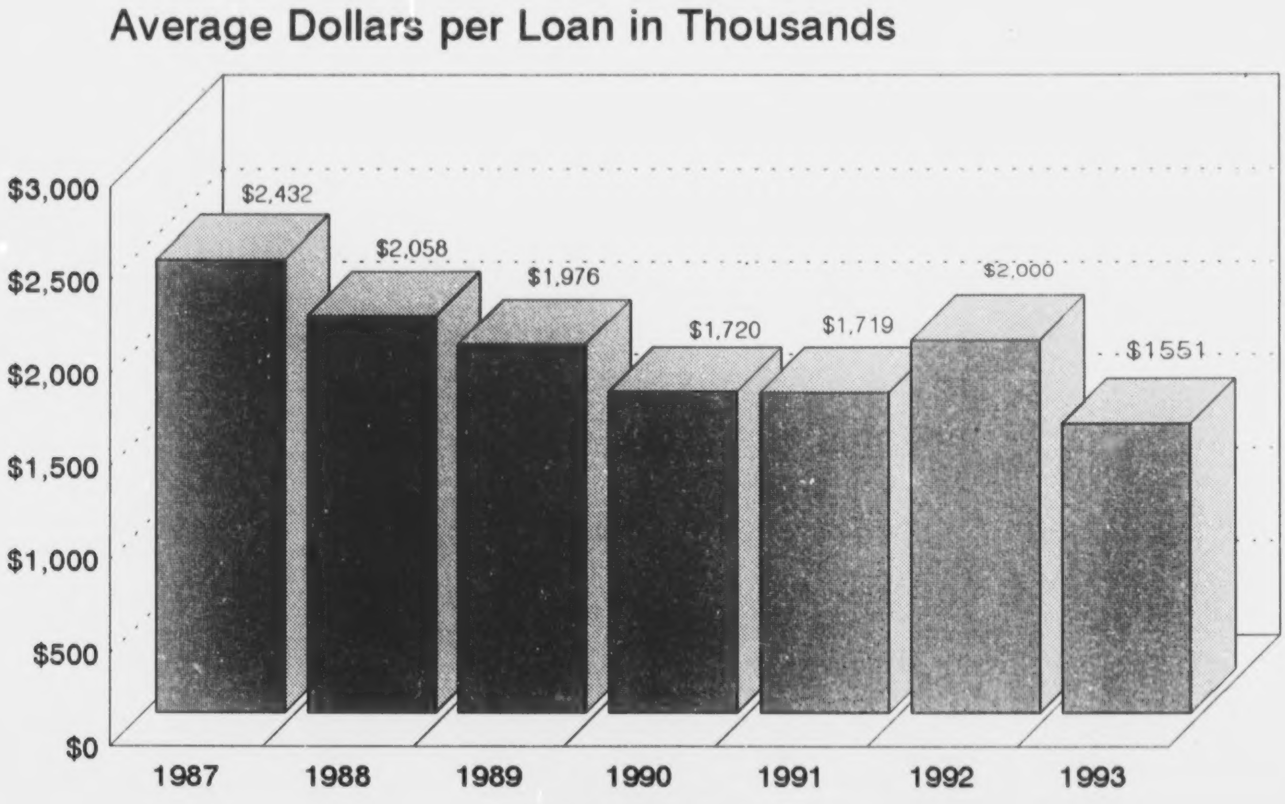
Seven Year
Applications Received
= 1011

Seven Year Loans
Awarded = 130

(1) The numbers have been adjusted for loans subsequently cancelled.

TABLE 5

NEW FACILITIES LOANS AWARDED IN RECENT YEARS



Fiscal Year

Table 6

DISTRIBUTION OF NEW LOANS TO PRIVATE/PUBLIC INSTITUTIONS

	AMOUNTS			PERCENT	
FISCAL YEAR	TOTAL LOAN	PRIVATE	PUBLIC	PRIVATE	PUBLIC
1987	$58,377,815	$33,203,000	$25,174,815	56.9	43.1
1988	$51,454,000 (1)	$27,671,000	$23,783,000	53.8	46.2
1989	$29,640,000	$15,700,000	$13,940,000	53.0	47.0
1990	$27,526,000 (1)	$16,907,500	$10,618,500	61.4	38.6
1991	$27,502,000 (1)	$14,863,000	$12,639,000	54.0	46.0
1992	$30,000,000	$6,898,000	$23,102,000	23.0	77.0
1993	$29,465,055	$20,895,000	$8,570,055	70.9	29.1

Table 7

NUMBER OF LOANS

				PERCENT	
FISCAL YEAR	TOTAL	PRIVATE	PUBLIC	PRIVATE	PUBLIC
1987	24	14	10	58.3	41.7
1988	25 (1)	16	9	64.0	36.0
1989	15	9	6	60.0	40.0
1990	16 (1)	11	5	68.8	31.3
1991	16 (1)	10	6	62.5	37.5
1992	15	6	9	40.0	60.0
1993	19	14	5	73.7	26.3

(1) The numbers have been adjusted for loans subsequently canceled.

Table 8

APPLICATIONS RECEIVED AND LOANS AWARDED IN RECENT YEARS

FISCAL YEAR	APPLICATIONS NUMBER RECEIVED	APPLICATIONS LOANS AWARDED	PERCENT OF LOAN APPLICATIONS APPROVED	AMOUNTS LOANS REQUESTED	AMOUNTS LOANS AWARDED	PERCENT OF REQUESTED DOLLARS AWARDED
1987	167	24	14.4%	$319,116,050	$58,377,815	18.3%
1988	200	25 (1)	12.5%	$408,105,732	$51,454,000 (1)	12.6%
1989	148	15	10.1%	$294,848,646	$29,640,000	10.1%
1990	175	16 (1)	9.1%	$351,251,610	$27,526,000 (1)	7.8%
1991	150	16 (1)	10.7%	$287,381,374	$27,502,000 (1)	9.6%
1992	98	15	15.3%	$194,113,719	$30,000,000	15.5%
1993	75	19	25.3%	$111,458,910	$29,465,055	26.4%

(1) The numbers have been adjusted for loans subsequently canceled.

Table 9

NEW FACILITIES LOANS AWARDED IN RECENT YEARS

FISCAL YEAR	TOTAL LOAN AMOUNT	NUMBER OF LOANS	AVERAGE LOAN AMOUNT	NUMBER OF BUILDINGS	NUMBER OF SQUARE FEET
1987	$58,377,815	24	$2,432,409	37	2,430,411
1988	$51,454,000 (1)	25 (1)	$2,058,160	45 (1)	1,789,575
1989	$29,640,000	15	$1,976,000	33	2,122,871
1990	$27,526,000 (1)	16 (1)	$1,720,375	58 (1)	3,564,288
1991	$27,502,000 (1)	16 (1)	$1,718,875	55 (1)	2,777,060
1992	$30,000,000	15	$2,000,000	83	4,217,818
1993	$29,465,055	19	$1,550,792	19	428,957

(1) The numbers have been adjusted for loans subsequently canceled.

BEST COPY AVAILABLE

Management Improvement Strategies

The Department of Education ensures effective credit management in the following ways:

- by taking steps to ensure the financial soundness of new loans, using such resources as delinquency listings, financial status reports, and regulatory provisions;
- by reviewing its inventory of all completed projects to ensure prompt and proper billing by the Federal Reserve Bank, cancelling inactive loans, and enforcing the policy requiring institutions to begin construction within 18 months of loan reservation;
- by using a procedure to ensure prompt delivery of notes and bonds to the Federal Reserve Bank; and
- by conducting in-depth credit reviews and imposing special conditions in loan agreements when necessary.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Walter B. Stevens, (202) 260-3230

Program Studies : Dan Morrissey, (202) 401-0182

INTEREST SUBSIDY GRANTS
(CFDA No. 84.001)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Part D of Title VII, (effective prior to July 23, 1992) and Section 702 (20 U.S.C. 1132a-1) (expires September 30, 1997).

Purpose: To reduce the cost of construction, reconstruction, and renovation of academic facilities by subsidizing the interest costs on privately funded facilities loans.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1969	$ 3,920,000	1986	$22,490,000
1970	11,750,000	1987	23,000,000
1975	0	1988	21,878,000
1980	29,000,000	1989	22,744,000
1981	26,000,000	1990	22,499,000
1982	25,500,000	1991	20,396,000
1983	25,000,000	1992	19,412,000
1984	24,500,000	1993	18,689,000
1985	18,775,000	1994	18,029,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Institutions of higher education and agencies empowered by a State to issue bonds on behalf of private institutions of higher education are eligible for interest subsidies.

Services

From FY 1970 through FY 1973, 711 privately secured loans, valued at about $1.4 billion in principal, were approved for Federal interest subsidies. Since FY 1973, no further loans have been approved for subsidization. The subsidy payments have totaled about $425 million from the program's inception through FY 1993. At the beginning of the year there were 424 outstanding loans receiving subsidy. However, during the year, 32 loans were paid off, withdrawn of estimated, leaving 392 loans in activie status. Outstanding loan volume under subsidy continued to decline slightly in FY 1993 as loans were repaid (Table 1).

Table 1

Annual Interest Subsidy Grants
Fiscal Years 1989 to 1993

	FY 1989	FY 1990	FY 1991	FY 1992	FY 1993
Total number of outstanding loans receiving subsidy	558	549	531	478	424
Total number of loans paid off, withdrawn or otherwise terminated during year	11	31	33	53	32
Average annual amount of interest subsidy grant	39,357	39,655	38,410	41,729	47,677
Total outstanding volume of loans for which interest subsidies are paid (in millions of dollars)	1,040	998	958	554	463

Source: II.1

Program Administration

Subsidy grants, which are administered by the Department's program office, are provided to reduce the interest rate to the institutions or agencies from market levels to three percent. The amount of the annual subsidy, calculated each year, is the difference between the interest costs actually incurred by the institutions or agencies on loans obtained from non-Federal sources and a subsidized interest rate of three percent.

Management Improvement Strategies

To limit Federal costs, institutions and agencies have been required to demonstrate to the satisfaction of the Secretary of Education that their non-Federal loans were obtained at the lowest possible interest costs.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Bertha L. Prince, (202) 260-3514

Program Studies : Daniel Morrissey, (202) 401-0182

SCHOOL, COLLEGE, AND UNIVERSITY PARTNERSHIPS PROGRAM
(CFDA No. 84.204)

I. PROGRAM PROFILE

Legislation: Higher Education Act, Title I, Part A, (20 U.S.C. 1001 et. seq.) (expires September 30, 1997).

Purpose: To provide support for higher education and secondary school partnerships designed to: (a) improve high school retention and graduation rates of low-income and disadvantaged students; (b) improve the academic skills of low-income and disadvantaged students; and (c) prepare students for programs of postsecondary education or gainful employment following graduation from high school.

Funding History

Fiscal Year	Appropriation
1988	$2,394,000
1989	2,760,000
1990	2,961,000
1991	3,904,000
1992	4,000,000
1993	3,928,000
1994	3,928,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In FY 1993, the sixth year of program operations, it is estimated that 3,926 students will be served by the SCUP program. The program serves primarily low-income and other disadvantaged students who may be at risk of dropping out of high school or, though capable, are not expected to pursue higher education.

Services

Program services include year-round study to provide enriched educational experiences. Program services may include the use of college students to tutor secondary school students, activities to improve the basic academic skills of secondary students as well as skills in specific subjects, and efforts to improve access to postsecondary education and post-high-school employment. Projects also provide work-based learning opportunities, mentors, and encourage parent involvement.

Program Administration

Partnerships of institutions of higher education and local education agencies can receive funding under this program. In FY 1991, 3-year grant awards were made to 14 projects with an average grant award of $278,854. In FY 1993, 12 continuation grants were made with an average grant award of $311,855; two projects were discontinued.

FY 1993

Number of projects	12
Average Award	$311,853
Number of persons served	3,926
Average Federal cost per participant	$953

Outcomes

Project performance reports containing information about project outcomes are submitted at the end of each multi-year grant cycle. Reports for the 1991-94 project period have not yet been submitted to ED. No other studies of project outcomes are available.

Management Improvement Strategies

The Department has recently begun to develop a computerized data base to analyze project performance reports.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : May Weaver, (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

JACOB K. JAVITS FELLOWSHIPS PROGRAM
(CFDA No. 84.170)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part C, as amended (20 U.S.C. 1134h-1134k) (expires September 30, 1997).

Purpose: To assist graduate students pursuing graduate degrees in the arts, humanities, and social sciences.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1985	$2,500,000	1990	$7,896,000
1986	2,393,000	1991	7,807,000
1987	4,700,000	1992	8,000,000
1988	6,702,000	1993	7,857,000
1989	7,904,000	1994	7,857,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Fellowships are awarded on the basis of merit to entering and enrolled graduate students. The proportion of new fellowships by field for FYs 1992 and 1993 is shown in Figure 1. These new awards are distributed as determined by the Javits Fellowship Board. In 1993, the Board specified that the awards be distributed as follows:

- At least 15 percent in the arts;
- At least 25 percent in the social sciences; and
- At least 40 percent in the humanities.

The remaining 20 percent are allocated by the national board. Approximately 50 percent of the recipients of awards have been men and 50 percent women. Data on other characteristics of recipients are not collected.

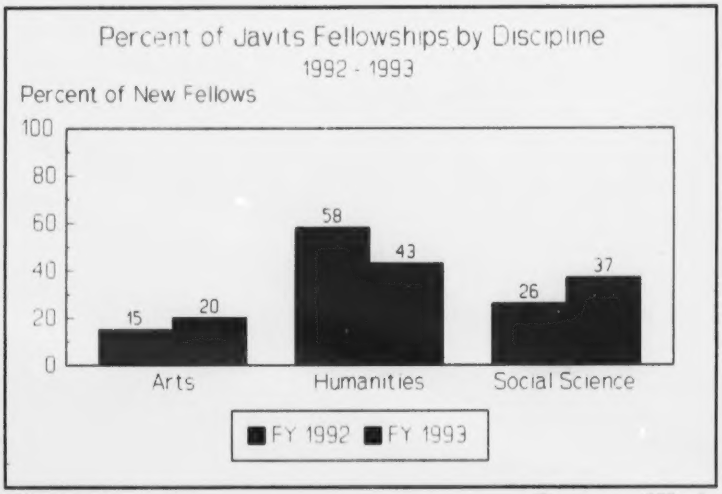


Figure 1 Source: III. 1.

Services

In FY 1992, the Jacob K. Javits Fellows Program awarded 136 new fellowships to graduate students in the arts, humanities, and social sciences. This number dropped to 89 in FY 1993 (see Figure 2). Fewer awards were made in FY 1993 since a slightly reduced budget had to cover higher award levels, mandated by the Higher Education Amendments of 1992. In FY 1993, each award included a payment of $9,000 to the Fellow's institution of higher education to cover tuition and fee expenses, regardless of whether actual tuition and fee charges at the institution were above or below this amount. The award also included a $14,000 maximum stipend to the student, based on financial need. Formerly the institutional payment was set at $6,000; stipends were limited to $10,000.

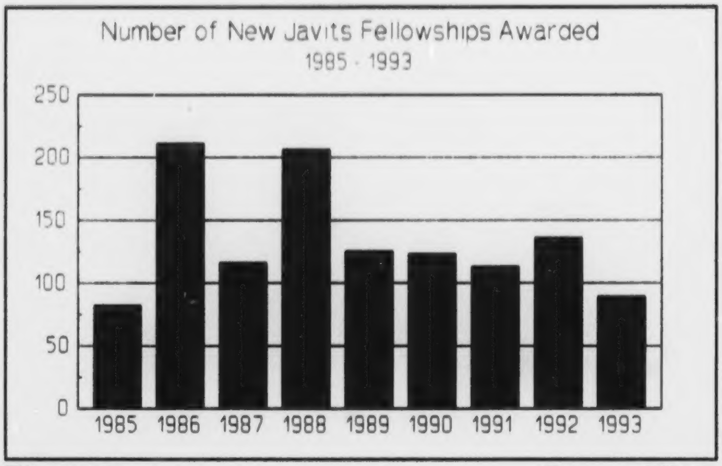


Figure 2 Source: III. 1.

Program Administration

Students are selected to receive fellowships on the basis of merit by panels of academic scholars appointed by the Jacob K. Javits Fellows Program Fellowship Board, whose members are appointed by the Secretary of Education.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Audrey Smith, (202) 260-3574

Program Studies : Gregory Henschel, (202) 401-0182

PAUL DOUGLAS TEACHER SCHOLARSHIP PROGRAM
(CFDA No. 84.176)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title V, Part D, (now Part C), Subpart 1, P.L. 99-498, as amended by P.L. 102-325 (20 U.S.C. 11104 to 11104K) (expires September 30, 1997).

Purpose: To encourage and enable outstanding high school graduates to pursue teaching careers at the preschool, elementary school, or secondary school level.

Funding History:

Fiscal Year	Appropriation
1986	$9,570,000
1987	15,500,000
1988	14,840,000
1989	15,235,000
1990	14,922,000
1991	14,639,000
1992	15,000,000
1993	14,731,000 1/
1994	14,731,000 1/

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

There are several performance indicators that are currently used by the program office to assess the performance of each State. Three of those indicators are summarized below along with the numbers of scholarship recipients from program years 1986-87 through 1992-93 who fall into each category.[2]

---

[1] $75,000 of the FY 1993 appropriation and $50,000 of the FY 1994 approrpiation were set aside for the mandated evaluation study.

[2] The data from one State are missing for program year 1992-93.

According to calculations made from the Annual Performance Report form, the total number of people who have received a Douglas Scholarship since the program began is 11,622.[3] Therefore, all of the percentages below refer to the percentage of scholarship recipients in each category, as a percentage of the total number of people who have ever received the scholarship -- 11,622.

(1) Percentage of Scholarship Recipients Who Have Completed Teacher Certification Course of Study: **62.6%**

This is based on the total number of scholarship recipients who have completed their teacher certification course of study -- 7,278.

(2) Percentage of Scholarship Recipients Who Are Currently In Repayment: **4.0%**

This is based on the number of scholarship recipients who are in repayment -- 465.

(3) Percentage of Scholarship Recipients Who Are Currently in Default: Less than 1% **(0.20%)**.

This is based on the number of scholarship recipients who are in default status -- 26.

Population Targeting

To be eligible for a scholarship, the applicant must have graduated from high school, be scheduled to graduate from high school by the end of the secondary school year, or have received a certificate of high school equivalency (GED). The applicant must rank in the top 10 percent of the graduating class or have GED test scores equivalent to ranking in the top 10 percent of graduates in the State or in the Nation. Furthermore, States must establish selection criteria that best meet their teaching needs in order to select scholars from among the eligible applicants. These selection criteria must be reviewed and approved by the Secretary before a State may use them.

Services

This program awards scholarships to high school seniors or graduates who are planning to pursue a career in teaching. Awards are for up to four years of higher education, and are equal to the cost of attendance, not to exceed $5,000 per year.

---

[3] The Annual Performance Report form is currently being revised. One revision that is being considered is whether to add a question that directly asks the States to provide the total number of Douglas Scholarships that have been awarded since the inception of the program. Since this question has never been directly asked, the calculation of 11,622 may not be absolutely precise if any State did not supply the correct numbers for some of the categories that were used to calculate this number.

The following table shows that since 1987-88 the number of scholarships and average award have remained relatively constant. As the program matured through FY 1990, the number of renewal scholarships increased relative to first-time scholarships. As the number of scholars graduating increased in FY 1990, the number of new scholars increased for FY 1991. Renewal scholarships receive funding priority.

Table 1

Award Data[4]

	NUMBER OF SCHOLARSHIPS			AVERAGE
Year	Total	First Time	Renewal	Award
1986-87 (FY 1986)	1,694	1,694	0	$4,098
1987-88 (FY 1987)	3,025	1,928	1,097	$4,555
1988-89 (FY 1988)	3,614	1,902	1,712	$4,583
1989-90 (FY 1989)	3,615	1,263	2,352	$4,600
1990-91 (FY 1990)	3,248	1,132	2,116	$4,669
1991-92 (FY 1991)(est)	3,202	1,299	1,903	$4,620
1992-93 (FY 1992)(est)	3,436	1,200	2,236	$4,496
1993-94 (FY 1993)(est)	3,404	1,204	2,200	$5,000

Source: III.1.

Program Administration

The Douglas program is administered by either the State agency that administers the State Student Incentive Grant program, the Federal Family Education Loan program (formerly the Guaranteed Student Loan Program), or any other appropriate agency approved by the Secretary. Either a selection panel or a grant agency in each State establishes specific scholar selection criteria. Particular efforts are made to attract students from low-income backgrounds; ethnic and racial minority students; individuals with disabilities; other individuals from groups historically underrepresented in teaching; individuals who express a willingness or desire to teach in rural schools, urban schools, or schools having less than average academic results or serving large numbers of economically disadvantaged students; or women or minorities who show interest in pursuing teaching careers in mathematics and science and who are underrepresented in such fields.

---

[4] Total scholarships times average awards does not equal appropriations for a given year because funds not expended in a given year are returned and can be used for awards in a later year.

Forty-seven States, the District of Columbia, Puerto Rico, and the Northern Mariana Islands participate in the program. In addition, four Insular Areas consolidate Douglas funds under other Department programs.

Outcomes

Data from the 1992-93 Performances Reports included information on scholarship recipients from FY 1986 through FY 1992. These 1992-93 Reports indicated that as of FY 1992, 7,278 scholarship recipients, or 62.6 percent of the scholarship recipients overall, had completed their teacher certification course of study. Of those, 66.72 percent had taught in the past or were currently teaching.

Approximately 2,348 recipients (20.2 percent) had completed their scholarship obligation, and 2,131 (18.34 percent) had completed their obligation through teaching and not at all through repayment.

As of FY 1992, 465 scholarship recipients were in repayment. This represents 4 percent of the recipients overall. In addition, less than one percent of the recipients overall were in default -- 26 recipients.

Management Improvement Strategies

The Department reviews all State reports for the accuracy of application and performance data. Department staff review edits periodically to refine them and to improve data quality. Finally, the Department provides case-by-case assistance to the States regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

1. Program files

IV. PLANNED STUDIES

A program evaluation study began in 1993 to address the congressional mandate contained in the Higher Education Amendments of 1992. The study will focus on the effectiveness of the program in attracting high-achieving students into teaching.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	Valerie Hurry, (202) 708-9453
Program Studies :	Elizabeth Eisner, (202) 401-0182

ROBERT C. BYRD HONORS SCHOLARSHIP PROGRAM
(CFDA No. 84.185A)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A, Subpart 6, P.L. 98-558 as amended by P.L. 102-325 (20 U.S.C. 1070d-31 et seq.) (expires September 30, 1997).

Purpose: To promote academic excellence and achievement among students and to recognize exceptionally able students who show promise of continued excellence.

Funding History

Fiscal Year	Appropriation
1987	$8,000,000
1988	7,659,000
1989	8,200,000
1990	8,627,000
1991	9,271,000
1992	9,642,000
1993	9,470,000
1994	19,294,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

The program office at the Department of Education is currently developing the performance indicators that will be used to assess the program's performance. Three of those indicators will be: (1) the number of States and territories that participate in the program; (2) the extent to which the States and territories award all of the scholarship monies that they receive from ED; and (3) the number of students who continue to receive Byrd scholarships throughout their college careers due to their ability to meet the satisfactory academic progress requirement.

These indicators reflect three of the program's goals: (1) to have all States and eligible territories participate; (2) to have all of the participating States and territories award all of the scholarship monies each year; and (3) to have scholarship recipients receive scholarships throughout their 4 years of college.

Population Targeting

To be eligible for a scholarship, the applicant must have a high-school diploma or equivalent, and must have applied or been accepted for enrollment at an institution of higher education. The scholarships are awarded on the basis of academic achievement and are renewable for up to the first four years of study at an institution of higher education of the scholar's choice.

Services

Byrd scholarships were awarded for the first time in the spring of 1987 for study in the 1987-88 academic year. Each scholarship recipient received $1500 for the first year of study at an institution of higher education. The Byrd scholars selected for the 1993-94 academic year are the first cohort of scholars eligible to receive a $1500 scholarship annually for up to the first four years of study.

Fiscal Year	Scholarships
1987	4,370
1988	5,175
1989	5,138
1990	5,384
1991	5,561
1992	5,798
1993	6,313

Program Administration

The Byrd Scholarship Program is administered by State education agencies, which establish specific scholar-selection criteria in consultation with school boards, teachers, counselors, and parents. All 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Commonwealth of Northern Mariana Islands, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Trust Territory of the Pacific Islands (Palau) are eligible to participate in the program. The scholarships are allocated to each State in proportion to its school-age (5-17) population, except that each State shall have at least 10 scholarships. The scholars must be selected in a manner that ensures an equitable geographic distribution of scholarships within the State.

Outcomes

The current Annual Performance Report form that is being used in the Byrd Scholarship Program does not ask the States for any information on the educational outcomes of students who receive the scholarships. The only information currently asked about students includes the number of recipients by type of institution, and the total amount paid to recipients at each type of institution. In program year 1992-93, the number of recipients was as follow:

Type of Institution	Number of Recipients
In-State Public	1,957
In-State, Private Nonprofit	969
Out-of-State Public	514
Out-of-State Private Nonprofit	1,857

The program office is currently designing a new form that will ask the States for some student outcome data. Such data would include the number of scholarship recipients whose scholarship is renewed each year due to the recipients' academic performance, and the number of scholarship recipients who graduate from college each year.

Management Improvement Strategies

The Department reviews all State reports for the accuracy of the performance data. States are provided with edits with which to check or revise their data. Department staff review edits annually to refine them and to improve data quality. Finally, the Department provides case-by-case assistance to the States regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Darlene B. Collins, (202) 260-3394

Program Studies : Elizabeth Eisner, (202) 401-0182

WOMEN AND MINORITY PARTICIPATION IN GRADUATE EDUCATION
(CFDA No. 84.202)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part A, Sections 911-915, as amended by P.L. 102-325 (U.S.C. 1134a-1134c-2) (expires September 30, 1997).

Purpose: To provide opportunities to participate in research and scholarly activities to talented undergraduate students who demonstrate financial need and are individuals from minority groups underrepresented in graduate education, or are women underrepresented in fields of study in graduate education, such as the field of science and mathematics. Such opportunities must be designed to prepare those students for graduate study.

Funding History

Fiscal Year	Appropriation
1988	$3,351,000
1989	3,476,000
1990	3,547,000
1991	5,953,000
1992	5,953,000
1993	5,846,000
1994	5,846,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In FY 1993, 136 applications for awards were received and 71 were funded. Fifteen applications were received from Historically Black Colleges and Universities (HBCUs), five of which were funded. Of the remaining awards, 53 went to other public institutions and 13 to other private institutions (Table 1).

TABLE 1

FY 1993 APPLICATION AND AWARD DATA

	Applications	Awards
HBCUs	15	5
Other Public	85	53
Other Private	36	13
Total	136	71

Of the 71 awards made in FY 1993, 18 were made to institutions proposing to serve exclusively blacks; 34 serving blacks and Hispanics; 17 serving Hispanics and Native Americans; 9 serving blacks, Hispanics, Native Americans, and Pacific Islanders; 1 serving blacks and Native Americans; and 3 serving all eligible minority groups, including those named above in addition to Alaskan Natives. All of the grantees proposed to serve women in their projects; none were focused exclusively on women.

Services

Institutions of higher education compete for grants under this program. Such grants support direct fellowship aid including need-based stipends, room and board costs, transportation costs, and tuition for summer research internships and seminars for which credit is given by the institution to participating talented, minority, and female undergraduate students. In reauthorizing the program in 1992, Congress added women studying in fields in which women are underrepresented in graduate education as recipients of program funds.

As shown in Table 2, in FY 1993, the program served 1,405 students in 71 projects. This reflects an expansion of the program from FY 1992, when 1,257 students were served in 73 projects.

TABLE 2

PROGRAM DATA, FISCAL YEARS 1990-1993

Fiscal Year	1990	1991	1992	1993
Number of Students	1,034	1,750	1,257	1,405
Number of Projects	49	72	73	
71				
Average Expenditure Per Student	$3,430	$3,467	$3,477	$3,589

Program Administration

Projects can be funded for 2 years, and have a maximum award of $100,000 per year. The Department of Education has adopted a policy that expenditures per student may not exceed $5,000. This policy was adopted to ensure that a maximum number of students will be served.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Vicki V. Payne, (202) 260-3291

Program Studies : Gregory Henschel, (202) 401-0182

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED
(CFDA No. 84.200)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IX, Part D, Sections 941-47 as amended by P.L. 102-325 (20 U.S.C. 1134l-1134q) (expires September 30,1997).

Purpose: To sustain and enhance the capacity for teaching and research in areas of national need by providing, through academic departments and programs at institutions of higher education, fellowships to assist graduate students of superior ability who demonstrate financial need.

Funding History

Fiscal Year	Appropriation
1988	$17,659,000
1989	12,844,000
1990	15,793,000
1991	24,885,000
1992	28,000,000
1993	27,498,000
1994	27,498,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Fellowships are provided to graduate students of superior ability who demonstrate financial need. Since the Higher Education Amendments of 1992, eligibility for funds is calculated in the same manner as Title IV student aid. Previously, need was established under criteria established by institutions.

Fellowships must be in an academic area designated by the Secretary as an area of national need. In the program's first year of operation, FY 1988, the Department determined that the areas of national need were chemistry, engineering, mathematics, and physics. The areas of national need were unchanged in FYs 1989 and 1990. In FY 1991, the less commonly foreign languages was added to the four previously designated areas of national need. The "less commonly taught languages," are languages other than French, German, Italian, and Spanish.

Services

Awards are made through institutions of higher education to graduate students. In FY 1992, 118 noncompeting continuation awards and 46 new awards were made to institutions. The new awards included 6 in biology, 13 in chemistry, 11 in engineering, 3 in foreign languages, 7 in mathematics, and 6 in physics.

In FY 1993, due to changes in the program enacted under the 1992 Higher Education Amendments, only noncompeting continuation awards were made. There were 144 such awards.

Through FY 1992, approximately 5,185 fellowships have been granted from a cumulative funding of $89,181,000. The average fellowship increased from $12,323 in FY 1988 to $14,187 in FY 1992. The cumulative number of fellowships in various academic areas since FY 1988 are as follows: biology, 49; chemistry, 1,472; engineering, 1,140; foreign languages, 84; mathematics, 1,196; physics, 1,244.

Fellowships awarded under these grants include a stipend that may not exceed $14,000 per calendar year, and an amount to the institution not to exceed $9,000 per calendar year to cover tuition, fees, and other educational costs. Institutions receiving grants must match Federal funds with a 25 percent contribution to be used for additional fellowships that meet the authorizing legislation.

Program Administration

Competitive awards are made annually and can be renewed for up to a total of three years. Awards in FY 1992 ranged from $100,000, the minimum allowable, to $400,000. The average new award in FY 1992 was repetitions at $168,310 compared to an average award of $168,825 in FY 1991. Awards are capped at $500,000. Due to the three-year grant cycle, the number of new awards varies annually--46 new awards (out of 276 applications submitted) were funded in FY 1992.

The 1992 Amendments raised the maximum award to $750,000. The minimum award is still $100,000. In FY 1993, noncompeting awards ranged from $100,000 to $400,000.

III. SOURCES OF INFORMATION

1. Program Files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: John Bonas, (202) 260-3265

Program Studies : Gregory Henschel, (202) 401-0182

HOWARD UNIVERSITY
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Congress issued a charter for Howard University by an Act of March 2, 1867 and provided for Federal assistance in subsequent acts (codified, as amended, at 20 U.S.C. 121 to 130aa) (no expiration date).

Purpose: To aid in the construction, development, improvement, endowment, and maintenance of Howard University.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1879	$ 10,000	1966	$ 13,902,000
1880	10,000	1970	59,964,000
1885	24,500	1975	81,700,000
1890	29,200	1980	121,893,000
1895	29,500	1981	133,983,000
1900	35,100	1982	145,200,000
1905	47,600	1983	145,200,000
1910	104,735	1984	156,200,000
1915	101,000	1985	158,230,000
1920	243,000	1986	157,168,000
1925	591,000	1987	170,230,000
1930	1,249,000	1988	172,203,000
1935	665,241	1989	178,973,000
1940	754,160	1990	182,446,000
1945	1,280,575	1991	195,213,000
1950	4,262,000	1992	212,360,000
1955	5,082,000	1993	194,005,000
1960	7,148,000	1994	192,686,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Howard University, located in Washington, D.C., provides a major avenue of postsecondary access and opportunity for blacks and others from disadvantaged backgrounds. Chartered by Congress in 1867 to provide such opportunities, Howard University serves about 12,000 students annually, approximately 86 percent of whom are members of minority groups. Foreign students comprise about 11 percent of enrollment.

Howard University's students are enrolled in 18 undergraduate, graduate, and professional schools. The University offers master's degrees in more than 85 areas and doctoral degrees in 24 fields. To support its academic programs, the university provides library services, administrative support, and research opportunities for its students.

Services

Federal funding includes support for the University's academic program, endowment, research, construction, and hospital (Table 1). The appropriation for the academic and research programs decreased slightly in FY 1993, while the appropriation for the hospital and endowment programs increased. More than half of education and general (E&G) expenditures are derived from Federal appropriations (Table 2). In FY 1993, the percentage of E&G expenditures received from Federal appropriations was 55, down from 68 in FY 1991.

In FY 1993, 18 percent of hospital support was derived from the Federal appropriation, compared to 53 percent in FY 1976. An agreement was made in 1977 between Howard University and the then-Department of Health, Education, and Welfare that the hospital would become more self-supporting over time. The appropriation for the hospital decreased slightly in FY 1988 and FY 1989, remained constant from FY 1989 to FY 1990, and increased from FY 1990 to FY 1993.

Federal support for construction assists Howard University in providing physical facilities that are suitable for classroom instruction, research, and administrative support services, and facilities that are adequate for an educational institution to accommodate sufficiently a student body of approximately 12,300. Construction funds were provided in 1991, 1992, and 1993 for a variety of renovation and reconstruction projects.

The endowment grant program is designed to assist the University in meeting its future needs and to reduce long-term Federal funding requirements by stimulating private contributions. Howard University receives these Federal funds as an endowment grant, provided that it matches the grant through non-Federal contributions. In FY 1993, the University was able to match 100 percent of available funds.

To provide incentives for increased non-Federal contributions to the Howard University endowment, the Administration will again propose a change to the current one-to-one endowment matching formula that would allow a match of two-to-one for every non-Federal matching dollar above $1,000,000 and a match of three-to-one for every non-Federal dollar above $2,000,000. This legislation was introducted in the House of January 26, 1994. Introduction of the legislation in the Senate was expected in the spring of 1994.

The research program is designed to improve Howard University's capacity to compete for and acquire research grants.

Foreign students comprise about 11 percent of Howard University's students. Historically, they have been charged the same tuition and fees as other students. Recently, the Congress required a tuition surcharge for foreign students which was phased in over the 1990-91 through 1992-93 academic years. This fee now adds a surcharge of 50 percent to the tuition of foreign students. There is however, no surcharge for foreign students who first enrolled prior to those years.

TABLE 1
APPROPRIATIONS BY FUNDING CATEGORY, FISCAL YEARS 1989 to 1993

	FY 1989	FY 1990	FY 1991	FY 1992	FY 1993
Academic program	$151,357,000	$155,306,000	$153,513,000	$153,515,000	$150,764,000
Endowment grant	1,482,000	1,500,000	2,928,000	2,928,000	3,351,000
Research	4,730,000	4,730,000	4,616,000	4,616,000	4,533,000
Hospital	20,910,000	20,910,000	28,300,000	28,310,000	28,973,000
Emergency Construction	---	---	5,855,000	23,000,000	6,384,000
Subtotal	$178,479,000	$182,446,000	$195,212,000	$212,369,000	$194,005,000
Reappropriation for endowment grant	494,000	---	---	---	---
Total	$178,973,000	$182,446,000	$195,212,000	$212,369,000	$194,005,000

SOURCE: Program files.

TABLE 2
SELECTED STATISTICS FOR HOWARD UNIVERSITY, FISCAL YEARS 1989 to 1993

	FY 1989	FY 1990	FY 1991	FY 1992	FY 1993
Total number of students 1/	13,181	12,506	12,299	11,941	11,919
Academic appropriation per student	$11,483	$12,419	$12,482	$12,856	12,649
Percentage of E&G expenditures from Federal appropriation	65	67	68	54	55
Percentage of support for hospital from Federal appropriation	15	13.5	17	17	18

1/ Includes summer school enrollment.
SOURCE: Howard University.

Outcomes

In 1991, a management review of Howard University (III.4) was conducted. The principal findings of the review are as follows:

Strategic Planning: The University should review its initiatives contained in the Howard 2000 plan (III.6.), quantify costs and savings in more detail, prioritize programs, and develop a detailed implementation plan and associated schedule. A definitive plan for tracking and execution of these initiatives should also be developed. Given limitations on financial resources such as cash balances and additional debt capacity, the University should aggressively pursue additional cost saving measures, improve fund raising performance, and reduce the subsidy from the University to the Howard University Hospital. Unless stringent cost-saving measures are adopted, the University will have a deficit of $50 million per year by the year 2000, assuming that the Federal appropriation increases at historical growth rates.

Fund raising: Howard's annual privately raised funds trail those of peer institutions. Howard's alumni response rate (eight percent) was far below that of the peer institutions.

Tuition pricing: Despite substantial tuition increases over the last 4 years, the University's tuition remains markedly below that of private peer institutions. Howard's tuition is significantly more than in-State tuition for almost all public peer institutions but below their out-of-State student tuition.

University-sponsored financial aid awards have increased more rapidly than tuition recently. Financial reasons do not appear to contribute significantly to the high dropout rate or declines in enrollment.

The University has not released financial data on foreign students that would allow the Department to assess their ability to afford Howard's tuition and fees. Without evidence that foreign student enrollment is sensitive to tuition, the foreign student surcharge appears appropriate in light of the portion of educational costs recovered through tuition charges for out-of-State students at State-supported institutions.

Student services: The services provided by the University are comparable to peer institutions, but its expenditure per full-time-equivalent student is much higher for these services.

The poor quality and limited availability of housing may be a factor contributing to declining enrollment.

The University has a high rate of violent crimes compared to similar urban institutions. Although the security staff is small compared to other universities, improvements could be brought about through better use of automation and crime prevention equipment.

Academic programs: The recommendations of the Howard University Commission Report (III.5) focus primarily on restructuring academic departments, adding or eliminating course offerings, increasing the University's research activities and increasing enrollment. In response to the Report, the tactics outlined in the Howard 2000 plan (III.6) for specific academic departments do not directly address the quality of academic programs and the impact on student outcomes. In fact, the University does not maintain data on student outcomes, such as advanced degrees, professions and income levels. However, as an indicator of academic quality, the University graduates only 42 percent of full-time entering students within seven years, despite a low student-to-faculty ratio of 4 to 1, which is much lower than the 10 to 1 average of the comparison groups.

The University's faculty are compensated slightly less than peers at the comparison group schools. However, salary increases have been higher than average over the past few years in an effort of the University to become more competitive. Faculty costs are impacted by the University's very low student-to-faculty ratio.

Physical facilities: As a percentage of total education and general budget, Howard's funding for physical facilities is reasonable when compared to peer institutions. The budget for deferred maintenance, however, is inadequate given existing needs.

The University has estimated that priority capital projects will require an investment of $118 million over the next eight years. This estimate is based on a faculty needs assessment conducted by an outside contractor (III.2.).

Administrative operations: Howard continues to have high administrative expenditures as a percentage of total educational and general expenditures.

Research spending: Howard spends less per student on research activities than the comparison group averages and the rate of increase has been slower.

Endowment: The Department has urged the University to strengthen efforts to match the Federal endowment grant; in FY 1993, the University matched all available funds.

Hospital: Congressional legislation stipulates that the Howard University hospital become progressively more self-supporting over time.

Although the purpose of the management review was to give a clear picture of where Howard University is, it should be made clear that many of the findings relate to practices and policies of past administrations. During the time that the study was being conducted, Dr. Franklyn Jenifer became the fourteenth president of Howard University; the data in this report do not reflect the reforms that he has spearheaded, among them internal reviews of university operations (including the Howard University commission report and Howard 2000) and administrative reforms aimed at establishing a solid foundation for strategic planning and long-term improvement. Howard University administrators note several significant recent changes that have been made (III.2.).

- Since April 1990, the University has reduced overall employment by 871 employees at an estimated savings of $32 million (December 1993).
- Recently, Howard University became one of 13 universities in America that has launched Total Quality Management (TQM) efforts. Current pilot projects are focusing on enrollment management, the bursar's office, and the Howard Inn.
- Following a security survey conducted by an outside contractor, Dr. Jenifer authorized 20 new security positions.
- Acting on recommendations from a student housing study, Dr. Jenifer has guaranteed and required that most freshman and sophomores reside in campus housing. The University has engaged in the construction and renovation of housing to provide a better quality of life on campus.

III. SOURCES OF INFORMATION

1. Program files.
2. Howard University.
3. Howard University: A Comparative Fiscal Analysis (Washington, DC: Pelavin Associates, Inc., April 1990).
4. Management Review of Howard University (Washington, DC: Ernst & Young, May 1992).
5. Investing for Excellence: Strategically Repositioning Howard University to Face the Challenges of the Twenty-First Century (Washington, DC: Howard University, 1990). (Howard Report.)
6. Howard 2000: A Blueprint for Building a Stronger University to Face the Challenges of the Year 2000 and Beyond (Washington, DC: Howard University, 1991). (Howard Plan.)

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: David A. Bergeron, (202) 708-9069

Program Studies : Daniel Goldenberg , (202) 401-0182

DRUG PREVENTION PROGRAMS IN HIGHER EDUCATION
(CFDA No. 84.183)

I. PROGRAM PROFILE

Legislation: Title IV, Part D (Section 5131) of the Safe and Drug-Free Schools and Communities Act of 1994, as amended (20 U.S.C. 3211) (expires September 30, 1999).

Purpose: To encourage the development, implementation, operation, and improvement of drug education and prevention programs for students enrolled in institutions of higher education (IHEs).

Funding History

Fiscal Year	Appropriation
1987	$7,780,000
1988	9,643,000
1989	13,902,000
1990	14,186,000
1991	14,147,000
1992	14,388,000
1993	14,273,000
1994	14,412,719

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

The main performance indicator that has been used applies to the Institution-Wide program. It measures whether or not the Institution-Wide program at a given IHE is still in existence one year after the Federal Drug Prevention Programs in Higher Education (DPPHE) monies have expired. One main purpose of the Institution-Wide program is to provide seed money to programs that are likely to continue beyond the period of Federal support. If the program does in fact continue beyond the Federal support period, this is viewed as a positive outcome.

Since the fall of 1990, the Department of Education has conducted a survey of the institutions whose Institution-Wide grants expired 1 year earlier. The surveys have revealed that approximately 94 percent of the Institution-Wide programs that were awarded in FYs

1987 through 1989 are still in existence.

Population Targeting

Only institutions of higher education (as defined by the Elementary and Secondary Education Act of 1965) are eligible for grants. Students enrolled in institutions of higher education are the target population.

Services

The Drug Prevention Programs in Higher Education provide grants to IHE's through the Institution-Wide, Special Focus, and Analysis and Dissemination programs.

- The Institution-Wide program supports a variety of drug prevention efforts directed at comprehensive and institution-wide involvement and change. Funding is targeted toward campus programs that have a substantial institutional commitment and are likely to continue beyond the period of Federal support.

- The Special Focus programs support activities designed to increase or facilitate the success of comprehensive drug prevention programs that are not likely to be the focus of an institution-wide program. The three Special Focus programs include:

    1. The National College Student Organizational Network program, which supports the development and implementation of drug prevention programs conducted in conjunction with national student organizations, or groups or networks of such organizations, that wish to pursue drug abuse education and prevention as their mission or their principal service activity;

    2. The Approaches to Accountability in Prevention program, which supports the formulation of promising new approaches to institutional and individual leadership and responsibility related to drug abuse education and prevention in higher education; and

    3. The Specific Approaches to Prevention program, which supports specific approaches to the prevention of drug use or alcohol abuse. Since 1989, the Fund for the Improvement of Postsecondary Education (FIPSE) has established the following Invitational Priority under this program: The Higher Education Consortia for Drug Prevention Program. This program supports the organization and implementation of monthly drug and alcohol prevention meetings among local groups of institutions of higher education wishing to improve their own campus-wide programs.

- The Analysis and Dissemination programs currently support analysis and dissemination activities associated with the Institution-Wide and Special Focus programs through:

1. The Dissemination of Successful Projects program, which supports projects designed to disseminate successful project designs, policies, and results of projects supported under Institution-Wide program competitions or Special Focus program competitions.

2. The Analysis Projects program, which supports projects designed to analyze successful project designs, policies, and results of projects supported under Institution-Wide or IHEs Focus program competitions.

Table 1 displays the number of awards granted in FYs 1987-1993. During FY 1993, 144 new grants were awarded to IHEs or consortia of IHEs. The vast majority of funds were awarded through the Institution-Wide program, with most of the remaining funds awarded through the Higher Education Consortia for Drug Prevention program.

Program Administration

FIPSE program staff is responsible for administering DPPHE. Each DPPHE application is reviewed by a team of 4 persons, and each team reviews and scores 20 applications. In FY 1993 there were 13 review teams.

Outcomes

An evaluation of outcomes is required of all grantees as part of their final reports. The FYs 1990 through 1993 Analysis Projects programs are designed to determine the success of the early FY 1987 to FY 1990 efforts. The 1990 Analysis Projects program grants have been received, and they show the extent of drug use and non-use among college students, the types of strategies being implemented by IHEs for prevention, and the high degree of continuance of developed programs after Federal funds were expended. The data show that 94% of the FY 1987, FY 1988 and FY 1989 sites still retain their programs, and two-thirds of the programs are the same size or larger than when federally funded.

Management Improvement Strategies

Recommendations from the programs' grantees are analyzed twice each year by FIPSE staff to seek improvements in the ongoing programs and to design new programs to further DPPHE goals.

TABLE 1
DRUG PREVENTION PROGRAMS IN HIGHER EDUCATION AWARDS
FYs 1987 - 1993

	FY 87	FY 88	FY 89	FY 90	FY 91	FY 92	FY 93
Institution-Wide Program							
Number of Awards	92	95	110	105	101	98	95
Average Award	$82.919	$97.369	$99.450	$114.210	$106.719	$116.765	$117.282
Length of Award	2 years	2 years	2 years	2 years	2 years	2 years	2 years
Special Focus Programs							
National College Student Organizational Network							
Number of Awards	-	2	4	1	4	1	3
Average Award	-	$166.750	$189.222	$212.984	$161.052	$202.420	$190.887
Length of Award	-	2 years	2 years	2 years	2 years	2 years	2 years
Approaches to Accountability							
Number of Awards	-	4	4	5	5	-	-
Average Award	-	$14.897	$14.998	$14.889	$14.945	-	-
Length of Award	-	9 months	9 months	9 months	9 months	-	-
Higher Education Consortia							
Number of Awards	-	-	59	26	38	32	40
Average Award	-	-	$29.919	$34.915	$35.307	$34.813	$35.381
Length of Award	-	-	2 years	2 years	2 years	2 years	2 years
Analysis and Dissemination Program							
Dissemination of Successful Projects							
Number of Awards				10	1	8	1
Average Award	-		-	$135.836	$149.50	$148.995	$149.550
Length of Award	-			2 years	2 years	2 years	2 years
Analysis Projects							
Number of Awards	-	-	-	4	4	4	5
Average Award	-	-	-	$143.258	148.555	4168.255	$191.111
Length of Award	-	-	-	2 years	2 years	2 years	2 years
TOTAL New Awards	92	101	177	151	153	143	144

III. SOURCES OF INFORMATION

1. DDPHE program files.

2. Published reports from Analysis Projects grants.

3. Unpublished preliminary findings reported by DPPHE Program Office.

IV. PLANNED STUDIES

All final reports from the FY 1989 grantees were received by February 1992, and from the FY 1990 grantees by February 1993. Analyses of these final reports are currently underway.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Ronald Bucknam, (202) 708-5750

Program Studies : Elizabeth Eisner, (202) 401-0182

STUDENT LITERACY CORPS AND STUDENT MENTORING CORPS
(CFDA No. 84.219)

I. PROGRAM PROFILE

Legislation: Title XI, Part B, Subpart 2, Sections 1141-1146 of the Higher Education Act of 1965, as amended by P.L. 102-325 (20 U.S.C. 1138-1138e) (expires September 30, 1997).

Purpose: To promote the development of projects operated by institutions of higher education in which undergraduates serve as unpaid tutors and mentors in public community agencies that serve educationally or economically disadvantaged individuals. Students must receive academic credit for participating.

Funding History

Fiscal Year	Appropriation
1989	$4,940,000
1990	5,042,000
1991	5,367,000
1992	5,367,000
1993	5,270,000
1994	0

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Services

Participating institutions establish credit-bearing courses which combine undergraduate study with experience as tutors and mentors. Tutors and mentors are required to enroll in one or more such courses for credit, and must perform for each credit not less than 2 hours a week of voluntary, uncompensated service during the academic term in a public community agency which serves educationally or economically disadvantaged individuals. Mentors are required to provide not less than 60 hours of voluntary, uncompensated service during the academic term to economically disadvantaged children and youth.

In FY 1991, an average of $47,000 was provided to each of 58 institutions and in FY 1992, an average of $48,000 was provided to each of 54 institutions to operate the program for a two-year period. In FY 1993, an average of $30,000 was provided to each of 171 institutions to operate the program for up to four years.

Program Administration

Student Literacy Corps and Student Mentoring Corps projects are administered by the institution. Grants are made for up to 4 years, but must be renewed annually. Grants are limited to $35,000 in the first year of the grant, and may not exceed $100,000 in total. The Federal share of carrying out a SLC and SMC program is not limited in the first year, but may not exceed 75 percent of costs in subsequent award years.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

The Department is conducting a study that will provide an in-depth understanding of how the program is administered and operated, factors related to program success, and outcomes for learners. The study will include surveys of participating institutions of higher education, a survey of tutors, a set of case studies focusing on program operations, a set of case studies on learner outcomes, and a follow-up survey that will determine if programs have continued past the period of Federal funding. Reports from the study are scheduled for release in 1994.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Darlene Collins, (202) 260-3394

Program Studies : Gregory Henschel, (202) 401-0182

NATIONAL SCIENCE SCHOLARS PROGRAM
(CFDA No. 84.242)

I. PROGRAM PROFILE

Legislation: Excellence in Mathematics, Science and Engineering Act of 1990, Title VI, Part A, P.L. 101-589, amended by P.L. 102-103 and P.L. 102-325 (20 U.S.C. 5381 et seq.) (expires September 30, 1997).

Purpose: To recognize high school student excellence and achievement in the physical, life, and computer sciences, mathematics, and engineering and to provide scholarships to these students to continue their studies in these academic fields at the postsecondary level.

Funding History

Fiscal Year	Appropriation
1991	$ 976,000
1992	4,500,000
1993	4,464,000
1994	4,464,000

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

An important goal of the National Science Scholars Program (NSSP) is to encourage students to continue their postsecondary studies in physical, life, and computer sciences, mathematics, and engineering. Student are therefore eligible to receive renewal awards only if they combine their studies in these fields. One indicator of the success of the program in achieving this goal is the percentage of scholarship recipients receiving a renewal award. Program data indicate a high rate of continuity in the program with 95 percent of scholarship recipients in 1991-92 and 1992-93 receiving a renewal award in the following year.

Population Targeting

To be eligible to receive a scholarship through the NSSP, the applicant must be scheduled to graduate from a public or private secondary school or to obtain the equivalent of a certificate of graduation (as recognized by the State in which the student resides) during the school year prior to the school year in which the scholarship is to be awarded. Applicants must have demonstrated outstanding academic achievement in secondary school in physical, life, or computer sciences, mathematics, or engineering.

Each State submits nominations for at least four applicants from each congressional district ranked in order of priority, at least half of whom must be female. Initial scholarships are then awarded to two scholars from each congressional district, at least one of whom must be female. The scholarships are not based on financial need.

Services

Initial scholarships are awarded for the first year of postsecondary study in physical, life, or computer sciences, mathematics, or engineering. A scholarship recipient who maintains eligibility may receive up to four additional scholarship awards in subsequent years in order to complete the undergraduate course of study. The Secretary of Education is authorized to award up to $5,000 per year to National Science Scholars. The amount awarded depends upon the level of funds appropriated by the Congress. In any given year, all scholarships are equal except that no student can receive a scholarship in excess of the cost of attendance.

Table 1 presents information on the number and amount of scholarships received between academic years 1991-92 and 1993-94[1]. The Table indicates that the average award fluctuated widely, as a result of the growing appropriations level, increasing by more than $1,500 between 1991-92 and 1992-93. The increase amount then fell almost $900 in 1993-94 due to greater number of renewal scholars receiving awards.

TABLE 1

	Number of Scholarships			
Year	Total	Initial	Renewal	Average Award
1991-92 (FY 1991)	797	797	0	$1,236
1992-93 (FY 1992)	1,625	869	756	$2,750
1993-94 (FY 1993)	2,400	861	1,539	$1,860

---

[1] The number of scholarships times the average award may not equal the amount appropriated in a given year. In FY 1991, awards exceeded the amount appropriated; FY 1992 funds were used to make up the difference.

Program Administration

Each State desiring to participate in the program must propose and submit a State nominating committee to the Department of Education for approval. The approved State nominating committee solicits and evaluates all student applications for the program using criteria published in the Federal Register. At least four nominees from each congressional district in the State, one-half of whom must be female, must be submitted to the Department. The President selects two scholarship recipients from each congressional district, one of whom must be female.

Management Improvement Strategies

The Department of Education provides case-by-case assistance to States and institutions of higher education regarding various administrative aspects of the program and distributes appropriate guidance to all participating entities.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations:	Charles R. Brazil, (202) 708-4609
Program Studies :	Dan Goldenberg, (202) 401-0182

RONALD E. MCNAIR POSTBACCALAUREATE ACHIEVEMENT PROGRAM
(CFDA No. 84.217)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title IV, Part A (U.S.C. 1070a-11 and 1070a-15) (expires September 30, 1997).

Purpose: To improve effective preparation for doctoral study to low-income, first-generation college students, or students from groups that are underrepresented in graduate education. Participants must be enrolled in an undergraduate or graduate degree program at an eligible institution of higher education.

Funding History

Fiscal Year	Appropriation 1/
1989	$1,482,000
1990	3,000,000
1991	4,944,000
1992	576,000
1993	9,598,000
1994	11,900,000

1/ The allocations represent the amount allocated administratively by the Department of Education from funds appropriated jointly for all six Federal TRIO programs: Upward Bound, Talent Search, Educational Opportunity Centers, Student Support Services, Ronald E. McNair Post-Baccalaureate Achievement Program, and the Training Program for Special Programs Staff and Leadership Personnel.

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Program participation is limited to low-income, first-generation college students, or students from groups that are underrepresented in graduate education. In any given project, two-thirds of the participants must be both low-income and first-generation college students. Each grantee determines whether to serve undergraduate or graduate students. Forthcoming regulations will specify criteria for identifying which groups may be considered "underrepresented" in graduate education.

Services

The 68 projects currently funded under the McNair program provide a range of support services that include but are not limited to: opportunities for research, summer internships, tutorial services, academic counseling, seminars, assistance in obtaining student financial aid, assistance in securing admission for enrollment in graduate programs, mentoring, and participating in cultural events. Students may also receive stipends not to exceed $2,400 a year if they have completed their sophomore year and are engaged in research.

	FY 1993
Number of new projects	0
Number of continuation projects	68
Average award	$142,965
Number of persons served	1,732
Average Federal cost per participant	$5,719

Program Administration

The McNair projects may only be sponsored by institutions of higher education. Future competitions for funding will be held every 4 years. Subsequent funding is based on approval of a non-competing continuation application.

Prior experience points will be earned by grant applicants that have conducted a McNair project within three prior years of the next competition, in FY 1995.

Management Improvement Strategies

In the past, the Department has proposed that the McNair and the Minority Participation in Graduate Education programs be consolidated.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: May Weaver (202) 708-4804

Program Studies : David Goodwin, (202) 401-0182

URBAN COMMUNITY SERVICE PROGRAM
(CFDA No. 84.252)

I. PROGRAM PROFILE

Legislation: Higher Education Act (HEA) of 1965, Title XI, Part A, as amended, (20 U.S.C. 1136 et seq.) (expires September 30, 1997).

Purpose: To encourage urban academic institutions to work with private and civic organizations to devise and implement solutions to pressing and severe problems in their urban communities.

Funding History

Fiscal Year	Appropriation
1992	$8,000,000
1993	9,424,000
1994	10,606,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Institutions of higher education that are designated as "urban grant institutions" are eligible to apply for a grant. In designating eligible institutions, the Secretary determines whether an institution meets seven statutory requirements that demonstrate the institution's ability to meet the purpose of this program. The requirements include measures of institutional capacity, past service, and commitment to the community. The Higher Education Amendments of 1992 expanded the definition of an urban area to include metropolitan areas with a population of 350,000 and above; previously the standard was 500,000 and above.

Services

Participating institutions may engage in planning, applied research, training, resource exchanges or technology transfers, delivery of services, or other activities to design and implement programs to assist urban communities to meet and address their pressing and severe problems. Multi-year projects of from 3 to 5 years are currently in effect.

In FY 1992, an average of $470,588 was awarded to 17 institutions of higher education and in FY 1993, an average of $409,739 was awarded for 17 continuation grants and 6 new grants.

Program Administration

Eligible urban academic institutions compete for grants on an annual basis when funds are available. An institution may not receive a grant individually or as a participant in a consortium of institutions for more than five years. Grants are awarded in a manner that achieves an equitable geographic distribution of grants throughout the Nation. Applicants that propose to conduct joint projects supported by other local, State, and Federal programs receive funding priority.

Management Improvement Strategies

The Department conducts site visits to ascertain project compliance and provide individualized assistance. A technical assistance conference was conducted in FY 1994 to assist grantees with issues pertaining to grant administration and evaluation and dissemination of project results.

III. SOURCES OF INFORMATION

1. Program files

IV. PLANNED STUDIES

The Office of the Under Secretary is planning a study in 1995 that will examine ways to improve performance reporting for this program.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Patricia W. Gore, (202) 708-8849

Program Studies : Gregory Henschel, (202) 401-0182

OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT

TERRITORIAL TEACHER TRAINING ASSISTANCE PROGRAM (TTTAP) PROJECT GRANTS TO TERRITORIAL JURISDICTIONS

(CFDA No. 84.124)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, as amended, Title Part E, Section 4502 (20 U.S.C. 3142) (expires September 30, 1999).

Purposes: To provide assistance for teacher training in schools in Guam, American Samoa, the Federated States of Micronesia (FSM), the Commonwealth of Northern Mariana Islands, Palau, Republic of the Marshall Islands (RMI), and the Virgin Islands. Grants are awarded to State education agencies (SEAs) in each territory.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1980	$ 2,000,000	1988	$1,915,000
1981	1,800,000	1989	1,976,000
1982	960,000	1990	1,762,000
1983	960,000	1991	1,769,000
1984	1,000,000	1992	1,769,000
1985	2,000,000	1993	1,737,000
1986	1,913,000	1994	1,737,000
1987	2,000,000		

II. PROGRAM INFORMATION AND ANALYSIS

Performance Indicators

Performance is measured in each of the jurisdictions by the numbers of teachers completing or making progress toward their degree or certification requirements (see table on next page).

Services

During FYs 1992 and 1993, training activities in the FSM and RMI continued to be focused on the needs of teachers lacking a bachelor's degree and/or full certification. In the other insular areas, activities were directed principally toward staff development. Participating jurisdictions reported the following numbers of teachers who made progress toward or completed their degree or certification requirements during FY 1993.

TABLE 1

Jurisdiction	Made Completed Progress	Requirements
American Samoa	212	40
Guam	196	70
Northern Marianas	349	33
Palau	339	26
Virgin Islands	104	44
FSM	112	2
RMI	200	3

The U.S. Virgin Islands (VI) are experiencing an influx of immigrants from the Spanish Caribbean, resulting in the need for the school system to hire and train bilingual teachers. Coupled with this influx, the VI are still recovering from the 1989 hurricane which devastated many of their schools. In the Pacific, Guam is also feeling the pressure of the influx of people from the Republic of the Marshall Islands and the Federated States of Micronesia. Accommodating these new arrivals has taxed the resources of the school system. Many of these new arrivals speak little English. The Northern Marianas' outer islands have been hit with a series of volcanic eruptions. This has disrupted the outer island teachers' participation in the TTTAP program.

Outcomes

TTTAP has had a positive impact on education in the territories (III.2). However, outside forces such as distance from the mainland, constant natural disasters, the influx of limited-English-speaking immigrants, the constant need to attract and keep teachers, and low salaries and the lack of resources, specifically in Samoa, FSM and the RMI, tend to keep the jurisdictions in a static position.

Management Improvement Strategies

Major improvements have been made in reporting requirements. Recordkeeping has improved. In the Pacific, this improvement resulted from technical assistance provided by the Pacific Regional Education Laboratory (PREL), formerly Center for the Advancement of Pacific Education, and site visits by the program officer to Guam and the Northern Marianas, FSM, and RMI. PREL has developed a database system which has been adopted by the Pacific jurisdictions. Communications have been improved in the Pacific by the installation of Peacesat satellite downlink sites in the various departments of education, facilitating networking among the entities and with PREL.

In FYs 1992 and 1993, technical assistance was provided to the Pacific TTTAP by PREL as part of its mission as a regional laboratory for the Pacific. In some jurisdictions, the projects have changed their focus from tuition grants to staff development. The entities have limited the time for pursuing a degree and the use of TTTAP funds for certification to one content area. These changes have resulted in substantial improvement in the program.

III. SOURCES OF INFORMATION

1. Program files.
2. Evaluation of the Territorial Teacher Training Assistance Program (Washington, DC: Research and Evaluation Associates, Inc., May 1989).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Joseph A. Wilkes, (202) 219-2186

Program Studies : Rob Barnes, (202) 401-0325

PUBLIC LIBRARY SERVICES--GRANTS TO STATE LIBRARY AGENCIES
(CFDA No. 84.034)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title I, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1995).

Purposes: To provide formula grants to the States to assist public libraries in establishing, expanding and improving library services. Funds may be used to provide library access for all persons who by reason of distance, residence, handicap, incarceration, or other disadvantage are unable to receive the benefits of public library services. Funds may also be used to assist public libraries to: combat illiteracy and establish model literacy centers; provide intergenerational programs matching older adult volunteers and children for after-school literacy and reading skills programs; provide services to individuals with limited English-speaking proficiency and to the elderly; provide mobile library services and programs to child-care providers or child-care centers; serve as community information referral centers; strengthen major urban resource library and metropolitan public libraries which serve as national or regional centers; and strengthen the capacity of State library administrative agencies to meet these library and information needs.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1957	$ 2,050,000	1985	$75,000,000 1/
1960	7,500,000	1986	75,000,000 1/
1965	25,000,000	1987	80,000,000 1/
1970	29,750,000	1988	78,986,000 1/
1975	49,155,000	1989	81,009,000 1/
1980	62,500,000	1990	82,505,000 1/
1981	62,500,000	1991	83,897,000 1/
1982	60,000,000	1992	83,898,000 1/
1983	60,000,000	1993	83,227,000 1/
1984	65,000,000	1994	83,227,000 1/

1/ Under the Library Services and Construction Act, 1.5 percent of the amounts appropriated for Titles I, II, and III is used for grants to Indian tribes under Title IV, and 0.5 percent is used for grants to organizations serving and representing Hawaiian Natives (see Chapter 605 of this AER).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program serves all of the community by offering a wide range of public library programs designed for groups from preschool children to the elderly.

Services

The State library administrative agencies provide support for approximately 1,900 public library service projects through subgrants to public libraries for 18 statutory service categories.

Projects included:

- Statewide summer reading programs;
- homework centers established to assist elementary and secondary school students after school hours;
- the use of technology to provide access to information services for all citizens, including the blind and disabled;
- the development of cooperative collection development policies at the State or local level;
- literacy programs for adults and school dropouts; and
- activities for the elderly, including large-print books, library services to retirement homes, bookmobiles, and books-by-mail services.

Outcomes

The latest data from the State annual reports (III.1.) indicate that the Title I funds were expended to:

41%	upgrade local public library services;
26%	improve services to targeted populations such as the blind and disabled, the disadvantaged, the institutionalized and the functionally illiterate;
19%	strengthen state library administrative agencies for statewide public library improvements; and
14%	provide designated library institutional needs such as major urban and metropolitan public libraries serving as regional resource centers.

Management Improvement Strategies

In FY 1993, the Department continued to work with State library administrative agencies to:

- improve evaluation through training institutes for State Directors and LSCA State Coordinators.
- develop an automated information management system to collect data from the State Annual Reports.
- foster more thorough long-range planning for Statewide public library development through reviews of the LSCA long-range plan and annual update documents.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Robert Klassen, (202) 219-1303

Program Studies : Kathryn Larin, (202) 401-0182

PUBLIC LIBRARY CONSTRUCTION--GRANTS TO STATE LIBRARY AGENCIES
(CFDA No. 84.154)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title II, (20 U.S.C. 351 et seq.) (expires September 30, 1995).

Purpose: To provide formula grants to the States to assist public libraries in the construction, acquisition, remodeling and alteration of existing buildings, and to support other technology enhancements. States and localities are required to match the Federal funds for each construction project on at least a one-to-one basis.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1965	$30,000,000	1986	21,533,000 2/3/
1970	7,807,250	1987	22,500,000 2/3/
1975	0	1988	22,595,000 2/3/
1980	0	1989	22,324,000 2/3/
1981	0	1990	18,900,000 2/3/
1982	0	1991	19,218,000 2/3/
1983	50,000,000 1/2/	1992	16,718,000 2/3/
1984	0	1993	16,584,000 2/3/
1985	25,000,000 2/3/	1994	17,436,000 2/3/

1/ The Emergency Jobs Act, P.L. 98-8, appropriated $50 million in FY 1983 for public library construction to be administered under the authority of the Library Services and Construction Act, Title II.

2/ There is no time limit for the expenditure of these funds.

3/ Under the Library Services and Construction Act, 1.5 percent of the amounts appropriated for Titles I, II, and III is used for grants to Indian tribes under Title IV, and 0.5 percent is used for grants to Hawaiian Natives, (Library Services for Indian Tribes and Hawaiian Natives, see Chapter 605 of this AER).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program serves all communities that match the Federal funds on at least a one-to-one basis, and have a State-approved application.

Services

The State library administrative agencies annually provide support for 300 construction and technology projects through subgrants to public libraries.

Projects included:

- the construction of new library buildings;
- acquisition, expansion, remodeling and alteration of existing buildings;
- remodeling to ensure safe working environments and to conserve energy;
- meeting the requirements of Americans with Disabilities Act;
- purchasing historic buildings for conversion to public libraries; and
- acquisition, installation, maintenance or replacement of equipment necessary to provide access to information and communication technologies.

Outcomes

Recent State library annual reports (III.1.) show that the Title II funds were expended at the local level to:

64%	Remodel public libraries to conserve energy, to improve access for the disabled, and to accomodate the use of new technologies.
23%	Build public library additions, and pay for acquisition costs, land purchases, and architectural fees.
13%	Construct new public library buildings.

The Federal project funds were matched by State and local sources at a level of 3.5 to 1 in FY 1992. The same level match in FY 1993 and FY 1994 is anticipated.

Management Improvement Strategies

In FY 1993, the Department continued to work with State library administrative agencies to:

- improve evaluation through training institutes for State Directors and LSCA State Coordinators;
- develop an automated information management system to collect data from the State Annual Reports;
- foster more thorough long-range planning for Statewide public library development through reviews of the LSCA long-range plan and annual update documents.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Robert Klassen, (202) 219-1303

Program Studies : Kathryn Larin, (202) 401-0182

INTERLIBRARY COOPERATION AND RESOURCE SHARING GRANTS TO STATE LIBRARY AGENCIES
(CFDA No. 84.035)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title III, (20 U.S.C. 351 et seq.) (expires September 30, 1995).

Purpose: To provide formula grants to the States to develop, establish, expand or operate local, State, regional and interstate cooperative library networks and to promote resource sharing activities among public, academic, school and special libraries. States may also use funds to develop the technological capacity of libraries for resource sharing, for programs for the preservation of endangered library materials, and to reimburse school libraries for making their resources available to the public after school hours.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1967	$ 375,000	1986	17,226,000 1/
1970	2,281,000	1987	18,000,000 1/
1975	2,594,000	1988	18,669,000 1/
1980	5,000,000	1989	19,102,000 1/
1981	12,000,000	1990	19,551,000 1/
1982	11,520,000	1991	19,908,000 1/
1983	11,520,000	1992	19,908,000 1/
1984	15,000,000	1993	19,749,000 1/
1985	18,000,000 1/	1994	19,354,000 1/

1/ Under the Library Services and Construction Act, 1.5 percent of the amounts appropriated for Titles I, II, and III is used for grants to Indian tribes under Title IV, and 0.5 percent is used for grants to Hawaiian Natives, (Library Services for Indian Tribes and Hawaiian Natives) (see Chapter 605 of this AER).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program serves all of the community with resource sharing activities designed to connect library users with needed information resources.

Services

The State library agencies annually provide partial support for about 480 regional, State and local cooperative library projects through subgrants to various governmental entities.

Historically, libraries have approached the opportunities to share resources in somewhat similar manner - first identifying the location of materials and compiling that information into a master holdings list of books (union catalogs) and periodicals (union lists of serials) and then developing ways in which other libraries could borrow the materials (interlibrary loan). At first, the ability to share this information was limited by the need to produce paper copies of the lists of materials. As new technologies became available, data were transferred to microfiche, CD ROM and now to online databases. To facilitate resource sharing, library networks and systems were established. In earlier times, the main function of these systems was to physically share materials, the delivery of which often took several days or weeks. Fax machines and computers now can provide almost instantaneous transmission of such information.

Outcomes

The 1990 reauthorization of LSCA placed increasing emphasis on the development of the technological capacity of libraries for interlibrary cooperation and resources sharing. While some States are still building their databases, others use Title III funds to develop increasingly sophisticated integrated online systems that will connect to the "superhighway" currently under national development. A number of States are already able to access the Internet and many others have plans to do so in the near future.

Management Improvement Strategies

In FY 1993, the Department continued to work with State library administrative agencies to:

- improve evaluation through training institutes for State Directors and LSCA State Coordinators;
- develop an automated information management system to collect data from the State Annual Reports;
- foster more thorough long-range planning for Statewide public library development through reviews of the LSCA long-range plan and annual update documents;
- encourage active interest in the benefits of networks for all types of libraries, particularly in small communities with inadequate collections; and
- monitor the Statewide resource sharing plans to determine whether or not they address the following major areas: 1) providing bibliographic access to computerized databases and other communication systems for information exchange; 2) developing delivery systems for exchanging materials among libraries; 3) projecting the computer and other

technological needs for resource sharing; and 4) analyzing and evaluating the State's library resource sharing ideas.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Robert Klassen, (202) 219-1303
Program Studies	:	Kathryn Larin, (202) 401-0182

LIBRARY SERVICES FOR INDIAN TRIBES AND HAWAIIAN NATIVES BASIC AND SPECIAL PROJECTS DISCRETIONARY GRANTS
(CFDA No. 84.163)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title IV, P.L. 101-254, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1995).

Purpose: (1) To promote the extension of public library services to Hawaiian Natives and federally recognized Indian tribes; (2) to encourage the establishment and expansion of tribal library programs; and (3) to improve the administration and implementation of library services for program recipients by providing funds to establish new programs and to support ongoing ones.

Funding History

Fiscal Year	Appropriation 1/
1985	2,360,000
1986	2,211,000
1987	2,410,000
1988	2,405,000
1989	2,449,000
1990	2,419,000
1991	2,460,490
1992	2,410,480
1993	2,391,196
1994	2,416,000

1/ Under the Library Services and Construction Act, 1.5 percent of the appropriations for Titles I, II, and III is set aside for Indian tribes, and 0.5 percent is set aside for Hawaiian Natives. For FY 1993, Indian tribes received $1,793,397 (75 percent of the 1993 total above) and Hawaiian Natives received $597,799 (25 percent). Set-aside amounts are also included in the amounts listed for Titles I, II, and III (Chapters 602, 603, and 604).

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Library Services for Indian Tribes and Hawaiian Natives Program provides support for public library services for members of Indian Tribes and Hawaiian Natives.

Services

For Indian tribes, the 192 basic grants and the 12 special projects grants support the following public library services: training or salaries of tribal library personnel; purchase of library materials; promotion of increased awareness of tribal library needs; support of special library services; and construction, renovation, or remodeling of library buildings.

Program Administration

Basic grants are not competitive. Federally recognized Indian Tribes and Hawaiian Native organizations recognized by the Governor of Hawaii that apply are eligible for awards. Special projects grants to Indian Tribes are competitive and are available only to Indian Tribes that have first received a basic grant. Hawaiian Native organizations request all available funds under the basic grant program and do not participate in the special projects program. Both basic and special projects grants last for one year. In FY 1993, of the 196 basic grant applications received, 192 were funded; of the 68 Special Projects applications received, 12 were funded.

Outcomes

Basic Grants

The majority of the 192 basic grant awards benefiting 209 Indian Tribes and Alaskan villages are being used to purchase library materials (including computer software) and to supplement the salaries of tribal library personnel. One basic grant of $597,799 was made to the Hawaiian Native organization named by the Governor of Hawaii. This single grant serves the needs of Hawaiian Natives by supporting projects that improve development of outreach programs, increase access, enhance evaluation, and provide employment training for Hawaiian Natives in library and information services.

Hawaiian Natives

One grant award was made supporting special outreach programs to four islands, to improve preschool parent involvement in children's reading and library use.

Special Projects Grants

Three of the 12 Indian tribes that received special projects grants used funds to build or renovate library facilities. The remaining special projects grants pay for salaries and training of tribal members as library personnel, and strengthen special tribal collections by paying for selected library materials and library computer systems.

Management Improvement Strategies

Plans to improve program administration include increasing the number of qualified potential field readers, disseminating program achievements, and improved project monitoring.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Beth Fine, (202) 219-1315

Program Studies : Manny Smith, (202) 401-1958

FOREIGN LANGUAGES MATERIALS PROGRAM
(CFDA No. 84.249)

I. PROGRAM PROFILE

Legislation: Title V of the Library Services and Construction Act, as amended (20 U.S.C. ch. 16)(expires September 30, 1995).

Purpose: To support discretionary grants for the purchase of library materials in languages other than English.

Funding History

Fiscal Year	Appropriation
1991	$976,000
1992	976,000
1993	968,000
1994	0

II. PROGRAM INFORMATION AND ANALYSIS

Services

This program supports the purchase of foreign language library materials including not only print materials (e.g., books, periodicals, newspapers), but also materials in other media, such as movies, music, and computer software. The program also supports the purchase of foreign language materials designed specifically for persons with disabilities.

State library administrative agencies and local public libraries are eligible to compete for grants under this program.

In FY 1992, 29 grants were made; in FY 1993, 30 grants were made.

Program Administration

The authorizing legislation mandates a grant ceiling of $125,000, and specifies that no more than 30 percent of the program funds may be used for grants exceeding $35,000.

Outcomes

In 1993, 30 libraries received funds for the purchase of foreign language materials, including print and non-print materials, periodicals, and software. Of the 30 projects, 17 purchased Spanish language materials exclusively; others purchased Asian, Russian, and multilanguage materials.

One State library developed a core reference collection of materials to be shared by libraries throughout the state; a local library expanded a Statewide project which makes non-English language materials of the MultiLingual Materials Acquisitions Center available Statewide.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Nancy Cavanaugh, (202) 219-1315
Program Studies	:	Joanne Wiggins, (202) 401-1958

LIBRARY LITERACY PROGRAM--DISCRETIONARY GRANTS TO STATE AND LOCAL PUBLIC LIBRARIES
(CFDA No. 84.167)

I. PROGRAM PROFILE

Legislation: Library Services and Construction Act (LSCA), Title VI, as amended (20 U.S.C. 351 et seq.) (expires September 30, 1995).

Purpose: To provide grants to State and local public libraries for the support of adult literacy programs in public libraries.

Funding History

Fiscal Year	Appropriation
1986	$4,785,000
1987	5,000,000
1988	4,787,000
1989	4,730,000
1990	5,365,000
1991	8,163,000
1992	8,163,000
1993	8,097,696
1994	8,097,696

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Library Literacy Program supports State and local public libraries in projects that serve illiterate and functionally illiterate adults.

Services

A total of 247 grants were awarded to State and local public libraries in FY 1993 to support projects in 43 States. Of these, 12 grants were awarded to State public libraries to train librarians and volunteers through workshops and seminars, to initiate and coordinate Statewide literacy programs, and to provide technical assistance to help librarians in their States conduct literacy projects.

The 235 grants to local public libraries were used to acquire literacy materials, to recruit and train volunteers to be tutors, and to reach the illiterate population in the communities served.

Program Administration

Grants are awarded competitively for 1 year.

Outcomes

Project Outcomes (for projects operating Oct. 1, 1992 - Sept. 30, 1993)

Mission 1: Reduce the rate of adult illiteracy.

- An estimated 27,000 adults received literacy services from projects funded under LSCA Title VI.

Mission 2: Help libraries be more actively involved in adult literacy.

- A total of 281 libraries participated in community-based literacy activities with LSCA Title VI funds.

Mission 3: To encourage cooperation among literacy providers in a community.

- Virtually all LSCA Title VI projects (97 percent) coordinated their services with literacy organizations and community-based organizations that provide similar or related services.

Mission 4: Promote volunteerism - of people and organizations.

- All grantees are involved in volunteer literacy services.
- Approximately 13,000 - 14,000 new tutors were trained.
- 82 percent of the libraries funded under LSCA Title VI helped recruit students and volunteer tutors.
- 95 percent of the libraries funded under LSCA Title VI provided training opportunities to interested individuals.

Cost Data

The cost of delivering literacy services to adults through the Library Literacy Program during the period October 1, 1992 - September 30, 1993 was approximately $300 per participant served.

Management Improvement Strategies

The Department disseminated approximately 2,000 copies of the annual program publication: Library Literacy Program: Analysis of Funded Projects, 1991 (III.2).

III. SOURCES OF INFORMATION

1. Program files.

2. Library Literacy Program: Analysis of Funded Projects (Washington, D.C.: U.S. Department of Education, 1991).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Carol Cameron/Barbara Humes, (202) 219-1315
Program Studies	:	Brenda Long, (202) 401-1958

COLLEGE LIBRARY TECHNOLOGY AND COOPERATION GRANTS
(CFDA No. 84.197)

I. PROGRAM PROFILE

Legislation: The Higher Education Act of 1965, Title II, Part A (20 U.S.C. 1029, 1047) (expires September 30, 1997).

Purpose: To encourage resource-sharing projects among the libraries of institutions of higher education through the use of technology and networking; to improve the library and information services provided to the libraries of institutions of higher education by public and nonprofit private organizations; and to conduct research or demonstration projects that meet special needs of libraries by using innovative technology to enhance library and information sciences such as that to be made available by the National Research and Education Network.

Funding History

Fiscal Year	Appropriation
1988	$3,590,000
1989	3,651,000
1990	3,732,000
1991	3,904,000
1992	6,404,000
1993	3,872,768
1994	3,872,768

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The College Library Technology and Cooperation Grants program benefits colleges, universities, and certain qualified nonacademic libraries by providing funds for library technology grants to support resource sharing and other networking activities. In addition to assisting in the acquisition of special equipment, grant funds may also be used for networking, membership fees, salaries, supplies, telecommunication costs, evaluation, dissemination, and other related activities.

Services

In FY 1993, the College Library Technology and Cooperation Grants Program awarded 37 grants in four categories: combination, services to institutions, research and demonstration, and networking.

In the combination grant category, five awards were made in FY 1993. These grants allow recipients to establish and strengthen joint-use library facilities, resources, software, and equipment. These combination grants have allowed academic libraries to create shared on-line catalogs and electronic document delivery systems, to strengthen existing shared systems through reconversion of records, and to establish new levels of cooperation through the Internet.

Two awards were made in the services to institutions grant category in FY 1993. This type of grant allows recipients to establish, develop, and expand programs and projects that improve the grantee's services to institutions of higher education. Funds have been awarded to nonacademic libraries to improve and expand access to materials through full text retrieval systems that support the academic programs of the institutions they serve and to train academic librarians in the use of the Internet to improve the quality of library services at institutions of higher education.

Seven awards were made in the research and demonstration grant category in FY 1993. These grants allow recipients to meet specialized national or regional needs by utilizing technology such as that provided through the National Research and Education Network. The titles of this year's projects are:

- The Virtual Medical Library System
- Cheshire Demonstration and Evaluation Project
- A Model Scholar's Outpost on the Electronic Frontier
- The Bancroft Library Finding Aid Database Design and Networking Project
- Government Information Sharing Demonstration Project
- Integrating an Image Database into Gopher
- Creating a Virtual Electronic Library

Twenty-three networking grants were made in FY 1993. These grants are designed to plan, develop, acquire, install, maintain, and replace the technological equipment and software necessary to participate in library resource-sharing networks. These networking grants allow academic libraries that have not been able to allocate funds from their operating budgets to take advantage of technological advances in the library and information science field.

Program Administration

Of the 37 grants made in FY 1993, 33 were awarded competitively and 4 were non-competing continuation awards. Multi-year projects, initially awarded competitively, are eligible for non-competing continuation awards for up to 2 additional years. No grant may be awarded for less than $25,000. Applicants must demonstrate that they will expend at least one-third more than the grant monies received from the Federal Government on the activities for which they received the grant.

Management Improvement Strategies

The program is now in its sixth year. Refinements and improvements continue to be made to the application review process. These include the active recruitment of library technology experts to serve as evaluators of the proposals; the creation of a peer review database enabling the program staff to identify specific areas of expertise; and the development of a program database to assist in project data collection and analysis.

III. SOURCES OF INFORMATION

1. Program files.

2. OERI Announcement of FY 1993 Grants Awards (including project abstracts), published annually by the Office of Library Programs, U.S. Department of Education.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Neal Kaske, (202) 219-1315

Program Studies : Frank Forman, (202) 401-0182

LIBRARY EDUCATION & HUMAN RESOURCE DEVELOPMENT -- DISCRETIONARY GRANTS TO AND CONTRACTS WITH INSTITUTIONS OF HIGHER EDUCATION AND LIBRARY ORGANIZATIONS OR AGENCIES

(CFDA No. 84.036)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title II-B (Section 222), as amended (20 U.S.C. 1021, 1022, 1023, 1031, 1032, and 1034) (expires September 30, 1997).

The Higher Education Amendments of 1992 changed the title of this program from the Library Career Training Program to the Library Education and Human Resource Development Program.

Purpose: To help institutions of higher education and library organizations and agencies train persons in the principles and practices of libraryship and information science, including new techniques of information transfer and communication technology.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1966	$1,000,000	1986	$612,000
1970	4,000,000	1987	659,000
1975	2,000,000	1988	410,000
1980	667,000	1989	400,000
1981	667,000	1990	570,000
1982	640,000	1991	651,000
1983	640,000	1992	5,000,000
1984	640,000	1993	4,960,000
1985	640,000	1994	4,960,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

In FY 1992, fellowships were targeted for individuals seeking an advanced degree in library and information science, specifically: (1) persons seeking training in areas of library specialization where shortages exist, such as school library media, children's and young adult services, science reference, and cataloging; and (2) persons who want to become library educators, with an emphasis on planning, evaluation, and research.

Target groups were the same in FY 1993, except that under (1) above, persons needing training in library management were also targeted. Also in FY 1993, library institutes were funded and the population targeted to receive such training was library personnel--primarily school and public librarians--pursuing the following studies: (1) areas of library specialization where there are currently shortages, such as school media, children's services, young adult services, science reference, and cataloging; and (2) serving the information needs of people who are elderly, illiterate, disadvantaged, or residents of rural America.

Services

Five million dollars were awarded in FY 1992 to support 73 grants made to 38 higher education institutions to support 416 fellowships for post-baccalaureate degrees in library and information science. Training emphasis at the doctoral level included specialization in library education, research methodologies, and planning and evaluation; at the post-master's level, advanced training was pursued in science reference and library services to youth; and at the master's level, training was given for school library media specialists, children and young adult services personnel, cataloging and science reference librarians, and network managers. In all, 104 fellowships were awarded at the doctoral level, 12 at the post-master's level, and 300 at the master's level.

In FY 1993, funding remained at the same level, and 115 grants were made to 47 institutions of higher education to support 298 fellowships. In addition to the fellowships, in FY 1993 there were 17 grants to institutions of higher education or library organizations to support institutes or training workshops primarily for school and public librarians. Approximately 1,700 individuals received training through the institutes.

Outcomes

Since the beginning of the program in 1966, fellowships for training in institutions of higher education have assisted 1,361 persons at the doctoral level, 282 persons at the post-master's level, 3,311 persons at the master's level, 16 at the bachelor level, and 53 at the associate level. During this same period, 102 institutes for training and retraining of librarians were also funded under this program. In fiscal year 1993, 47 institutions of higher education received almost $4 million to provide fellowships in library and information science for the academic year 1993-94. The 115 grants awarded will support 159 master's, 17 post-master's and 122 doctoral fellowships. Also, approximately 1.1 million was awarded to support 17 institutes in training workshops, primarily for school and public librarians, 1993-94 academic year.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Louise Sutherland, (202) 219-1315
Program Studies	:	Brenda Long, (202) 401-1958

LIBRARY RESEARCH AND DEMONSTRATIONS--DISCRETIONARY GRANTS AND CONTRACTS
(CFDA No. 84.039)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title II-B (Section 223) (20 U.S.C. 1021, 1022, and 1033) (expires September 30, 1997).

Purpose: The Research and Demonstrations program supports research and development relating to the improvement of libraries, including the promotion of economical and efficient information delivery, cooperative efforts, training in librarianship, developmental projects, and the dissemination of information derived from all such projects.

Funding History

Fiscal Year	Appropriation
1989	$ 309,000
1990	285,000
1991	325,000
1992	325,000
1993	2,802,000
1994	2,802,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Discretionary grants and contracts can be awarded to institutions of higher education and other public or private agencies, institutions, and organizations. In 1993, the appropriation bill specified that $2,500,000 be for a single competitive award for the demonstration of online and dial-in access to a Statewide fiber optic network.

Services

Historically, projects have been small (under $60,000) and field-initiated, although more substantial projects, such as work leading to the establishment of the Online Computer Library Center (OCLC), a major national bibliographic referral center, have been undertaken.

Outcomes

One grant of $2.5 million was awarded to Louisiana State University to support a demonstration of online and dial-in access to a statewide multitype library database through a statewide fiber optic network housing a point of presence in every county, connecting library voices in every municipality.

The Department of Education continued a contract started in FY 1992 with the University of Wisconsin-Madison to provide training for State library agency personnel in planning and evaluating federally funded library programs. Training is designed to strengthen State library agencies' capabilities in evaluating projects, demonstrating greater accountability for Federal funds, and identifying and disseminating information about effective programs. Under the contract totaling $322,400, the contractor presented two national workshops and developed two manuals.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Louise Sutherland, (202) 219-1315

Program Studies : Brenda Long, (202) 401-1958

STRENGTHENING RESEARCH LIBRARY RESOURCES--DISCRETIONARY GRANTS TO MAJOR RESEARCH LIBRARIES
(CFDA No. 84.091)

I. PROGRAM PROFILE

Legislation: The Higher Education Act (HEA) of 1965, Title II, Part C (20 U.S.C. 1021, 1041) (expires September 30, 1997).

Purpose: To promote high-quality research and education throughout the United States by providing grants to help major research libraries maintain and strengthen their collections, and to help make their holdings available to other libraries and individual researchers and scholars outside their primary clientele.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1978	$5,000,000	1987	$6,000,000
1980	6,000,000	1988	5,744,000
1981	6,000,000	1989	5,675,000
1982	5,760,000	1990	5,738,000
1983	6,000,000	1991	5,855,000
1984	6,000,000	1992	5,855,000
1985	6,000,000	1993	5,808,160
1986	5,742,000	1994	5,808,160

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

This program targets and benefits scholars and users of research collections by assisting institutions with major research libraries (1) to acquire rare and unique materials; (2) to preserve fragile and deteriorating materials not generally available elsewhere; and (3) to provide access to collections by converting bibliographic information into machine-readable form and entering the records into national databases.

Services

FY 1993 funding supported a total of 46 projects. Thirty-five were awarded competitively, and 11 were non-competing continuation awards. Projects were concentrated in the following areas:

- Twenty-five grantees chose bibliographic control as the only area of project activity, adding new entries to national databases and making additional research materials accessible to users.
- Twenty grantees chose both bibliographic control and preservation techniques to make rare and unique materials more accessible.
- One grantee chose both bibliographic control and collection development as the areas of project activity.
- Two institutions are promoting cooperative activities by administering joint projects involving a total of 11 institutions.

An example of a project funded in FY 1993 is the $65,000 award made to the New York Public Library in New York City for processing records of the Luening Collection. The collection consists of manuscript scores and correspondence, as well as academic, business, and family papers of Otto Luening, a noted flautist, composer, educator, and administrator. Collection records will be processed and entered into a national database. A computerized archival finding aid will also be created.

Program Administration

Grants are awarded for one year; however, some multi-year projects are eligible for non-competing continuation awards (some go as long as three years beyond the year of the original award). All non-continuation awards are selected following an annual peer review.

Management Improvement Strategies

Continued efforts were made to improve technical assistance to grantees and applicants. Fiscal and program data have been prepared and published annually as a part of the program brochure--Abstracts of Funded Projects--which has been refined and widely disseminated.

The program application booklet has been improved and now includes a section that provides greater explanation of the program criteria to assist applicants in preparing their grant submissions.

Information packets were distributed in FY 1993 to provide the library community with complete and up-to-date information concerning the program scope, eligibility requirements, and all other necessary information needed to apply for funding.

In FY 1993, the program staff became involved in a government-wide group, the Federal Funders Committee, which includes representatives from the National Endowment for the Humanities, the National Science Foundation, the National Archives, the National Historic Records and Publications Commission, the Commission on Preservation and Access, and the Coalition for Networked Information. This group provides a forum for Federal agencies that fund information-science-related activities to share information and ideas and to better reach their joint constituents.

III. SOURCES OF INFORMATION

1. Program files.
2. Abstracts of Funded Projects, published annually by the Office of Library Programs, U.S. Department of Education.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Linda Miles, (202) 219-1315

Program Studies : Frank Forman, (202) 401-0182

NATIONAL WRITING PROJECT
(No CFDA No.)

I. PROGRAM PROFILE

Part K of Title X of the Elementary and Secondary Act of 1965, as amended, P.L. 103-382 (20 U.S.C. 8331) (expires September 30, 2000).

Purpose: To support in-service teacher training programs, including the dissemination of effective practices and research findings, regarding the teaching of writing and related skills (in language arts subjects and across the curriculum) at all educational levels, and to disseminate classroom research regarding effective teaching practices and methods, including the documentation of student performance.

Funding History

Fiscal Year	Appropriation
1991	$1,952,000
1992	2,500,000
1993	3,212,000
1994	3,212,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program supports professional development for teachers of writing and teachers of other subjects who are interested in writing, including teachers who serve students at the preK-12, postsecondary, and adult education levels. The program is also authorized to award grants for classroom research projects conducted by elementary and secondary school teachers.

Services

The National Writing Project (NWP) competitively awards about 50 new contracts each year. The NWP currently supports projects at 163 sites, including 5 overseas projects (which receive no Federal funds). NWP sites and the national office train over 100,000 teachers each year. There are currently no grants awarded to individual teachers using Federal funds.

Program Administration

The legislation directs that all Federal funds (NWP has other funding sources) be awarded via a noncompetitive grant to the National Writing Project, Inc., a nonprofit international educational organization located in Berkeley, California. While an independent organization, NWP is affiliated with the OERI-sponsored National Center for the Study of Writing and Literacy at the University of California at Berkeley.

NWP lets contracts to local sites—usually postsecondary institutions, school districts, or other nonprofit educational providers—to operate in-service teacher development programs. Federal funds may be used for no more than 50 percent of the cost of the programs run by NWP contractors, and no more than 10 percent of the Federal share of total funding may be used by NWP or any contractor for administrative costs. The award to any one contractor may not exceed $40,000, or $200,000 in the case of a contractor that operates a Statewide program (defined as at least five separate sites within a State). Local sites provide programs for teachers in nearby school districts and postsecondary institutions.

The legislation permits NWP to use up to 5 percent of its annual Federal funding for competitive grants to K-12 teachers to conduct classroom research on improving the teaching of writing. Grants to individual teachers may not exceed $2,000. NWP has not elected to conduct such a competition, and no such awards have been made.

NWP has established and maintains a national advisory board, as required by the legislation.

Outcomes

In 1992-93, NWP trained 147,804 teachers.

Management Improvement Strategies

The program views the current legislation as permitting virtually no latitude in modifying this assistance relationship or in changing and improving program management. In accordance with advice from the program office, NWP plans to conduct a self-evaluation (not using Federal funds).

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	E. Stephen Hunt, (202) 219-1882
Program Studies	Joanne Wiggins, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
NATIONAL DIFFUSION NETWORK
(CFDA NO. 84.073)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, Title I, Section 1562 (20 U.S.C. 2962) as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988 (P.L.100-297) (expires September 30, 1999).

Purpose: To promote national dissemination and use by public and nonpublic educational institutions of effective education practices, products, programs, and processes developed by local school districts, colleges and universities, and other public or private nonprofit organizations, agencies, or institutions.

Funding History

Fiscal Year	Appropriation	Fiscal Year	Appropriation
1974	$ 9,100,000	1987	$ 10,700,000
1975	8,400,000	1988	10,244,000
1980	10,000,000	1989	11,066,000
1981	8,750,000	1990	12,837,000
1982	8,800,000	1991	14,150,812
1983	10,000,000	1992	14,700,000
1984	10,000,000	1993	14,582,400
1985	10,700,000	1994	14,582,400
1986	10,237,927		

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The National Diffusion Network (NDN) is designed to serve all schools in the Nation. NDN programs have been adopted by schools of every type--rural, urban, and suburban--and for many target populations, including students with disabilities, students who are economically disadvantaged, students with limited English proficiency, migrant students, and functionally illiterate adults (III.1).

During the 1992-93 school year, 35,601 schools adopted NDN programs, 141,534 people were trained, and approximately 6.3 million students participated in programs (III.1). In the same year, NDN received 44 applications for new Developer Demonstrator awards and funded 26. Seven new State Facilitator applications were received and five were funded. In addition, an application for a new Dissemination Process Project, with an emphasis on family literacy, was funded.

Services

The NDN currently funds Developer Demonstrator and Dissemination Process projects in reading, writing, health, history and civics, math, the humanities, science, special education, gifted and talented education, adult literacy, and projects to improve teaching and the quality of instruction. Developer Demonstrator projects are exemplary education programs, often developed by local schools and universities that receive funding to provide information and materials about the program and training materials to help others install the programs. Training and follow-up technical assistance are provided for education service providers seeking to adopt the programs. Dissemination Process projects are large-scale programs run by national organizations that provide instructional materials, services, and information about specific content areas, bodies of research, or fields of professional development.

A growing number of projects focus on readiness to learn in school and on high school completion. There are also a few programs that address discipline and drug-free schools. All projects disseminated by NDN have been evaluated locally and approved by the U.S. Department of Education's Program Effectiveness Panel. In addition, all States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, the Northern Mariana Islands, and Palau have a State Facilitator project that links the education programs included in the NDN with the local schools interested in adopting them. The Private School Facilitator project serves the Nation's private schools in the same way.

Program Administration

Grants for Developer Demonstrators, Dissemination Processes, and State Facilitators are awarded competitively and may last as long as 4 years, depending on performance and availability of funds. Contracts are also awarded competitively to (1) provide technical assistance to NDN grantees and to identify and assess promising practices; and (2) to support the Program Effectiveness Panel, which verifies the effectiveness of programs participating in the NDN (III.1).

Management Improvement Strategies

The National Diffusion Network is placing priority on dissemination funding for programs that directly address the National Education Goals, particularly the core subject areas of Goal 3. There also is a priority for comprehensive reform strategies for schools that serve high concentrations of at-risk students. At the same time, State Facilitators are being encouraged to place greater emphasis on supporting systemic school improvement efforts rather than simply focus on the number of program adoptions. Working collaboratively, Developer-Demonstrators and State Facilitators are refocusing their energies on the quality of program installations, with greater attention to ongoing follow-up assistance after training. For example, State Facilitators and some Developer Demonstrators form networks of program practitioners who exchange information and solve problems together on an ongoing basis.

Coordination between NDN and Department-funded programs is also underway:

- Funds transferred through the Follow-Through Program in FY 1992 have supported the dissemination of information about Follow-Through by NDN facilitators in 46 states. In FY 1993, funds were used to support the dissemination of a project that was originally developed with Follow-Through funds.

- NDN also continues to work with programs in the Department, which require that grantees pursue PEP validation and dissemination through NDN. They include the OBEMLA's Academic Excellence Program, OESE's Even Start Program, OVAE's School-to-Work, Tech-Prep and Correctional Education Programs, and OERI's Eisenhower Math/Science National Program, and the Fund for the Improvement and Reform of Schools and Teaching (FIRST).

- Participation on the National Science and Technology Council's (NSTC) [formerly the Federal Coordinating Committee for Science Education and Technology] Dissemination and Evaluation Working Group has provided NDN with information about high-quality math and science programs across the Federal government. NDN has supported the development of Federal program evaluation standards, as well as the sourcebook Guide to Excellence and other projects with the Eisenhower National Clearinghouse.

- As a collaborative effort, NDN and the Regional Educational Laboratories developed a two-volume publication: Mathematics, Science and Technology Programs that Work and Promising Practices in Mathematics and Science Education. The set is stimulating adoption activities throughout the States and Territories, while enhancing NDN's efforts to identify and disseminate innovative and high quality instructional materials and practices.

To promote a more systemic approach to school reform, a number of NDN programs have joined with others that have compatible philosophies or strategies. In Wyoming, for example, the State Facilitator project places an emphasis on whole-school change and "bundles" programs. In large districts within the State, for example, school staff were trained in the compatible NDN programs that focused on early childhood/teen parenting, special education and Chapter 1 support, thinking skills and creativity, comprehensive health services and reading/literacy projects.

All NDN Developer Demonstrator projects are required to collect impact data from a representative sample of adoption sites. An analysis of these data normally indicate the adoption site participants do as well, or better than, the original development site participants. Submissions for revalidation of programs also bear this out.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Elizabeth Farquhar, (202) 219-2134

Program Studies : Joanne Bogart, (202) 401-1958

DWIGHT D. EISENHOWER
MATHEMATICS AND SCIENCE EDUCATION NATIONAL PROGRAM
(CFDA No. 84.168)

I. PROGRAM PROFILE

Legislation: Title II, Part A, Subpart 1, Section 2012 of the Elementary and Secondary Education Act (Dwight D. Eisenhower Mathematics and Science Education Act, as amended (20 U.S.C. 2992) (expires September 30, 1999).

Purpose: This program provides support for projects of national significance designed to improve the quality of teaching and instruction in mathematics and science and to increase access to that instruction.

Funding History

Fiscal Year	Appropriation
1985	$ 9,900,000
1986	3,875,000
1987	7,200,000
1988	10,771,000
1989	8,892,000
1990	8,781,000
1991	11,711,000
1992	16,000,000
1993	15,872,000
1994	16,072,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program serves public and private elementary and secondary school students, teachers, and related education personnel, through grants to State and local education agencies, institutions of higher education, and public and private nonprofit organizations. Priority may be given to meeting the needs of underrepresented and underserved populations (and gifted and talented students within these populations) (III.1).

Services

The Eisenhower National Program provides support for a wide range of projects designed to improve the quality of teaching and instruction in mathematics and science in the Nation's schools and to increase access to that instruction (III.1). Included is support for:

- a National Clearinghouse for Mathematics and Science Education, operated through a grant to Ohio State University for FYs 1992-1997, to collect and disseminate instructional materials for elementary and secondary schools through print, CD-ROM, and on-line access, in coordination with other databases of mathematics and science curriculum and instructional materials;
- development of coherent, standards-based State curriculum frameworks in mathematics and science education for grades K-12, through 3 year grants to 16 States, in conjunction with their development of model guidelines for teacher education and certification, criteria for teacher recertification, and model in-service professional development programs for mathematics and science teachers;
- development by the National Research Council of standards for what students should know and be able to do in science in grades K-12; and
- a variety of professional development projects in mathematics and science, including grants for museums or zoos to develop materials and provide instructional leadership for field trips for elementary school students, and grants to State and local education agencies, universities, and non-profit organizations to provide mentoring programs, internships, and special courses for teachers in mathematics and science education.

Outcomes

An evaluation of the contribution of the State Curriculum Frameworks Projects to systemic reform in mathematics and science education will be completed in FY 1998, with interim results in FY 1996 and FY 1997. (See section IV below.)

III. SOURCES OF INFORMATION

1. Program files and program abstracts.

IV. PLANNED STUDIES

During FY 1993, the Department of Education began an evaluation of the State Curriculum Frameworks Projects. The purpose of the evaluation is to examine the extent to which the State Curriculum Frameworks Projects are contributing to systemic reform in mathematics and science education, how they relate to other reform efforts, and how lessons learned can benefit future reform efforts. The evaluation will be completed in FY 1998, with interim results in FY 1996 and FY 1997.

In addition, each State Curriculum Frameworks Project grantee is required to submit an evaluation report. This information will be available when the projects are completed. All projects directly funded under the Eisenhower National Program include evaluation components and are required to submit final performance reports, including evaluation findings. However, the Department has not analyzed the information across projects and has no findings to report at this time.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Annora Dorsey, (202) 219-2164

Program Studies : Nancy Loy, (202) 401-1958

DWIGHT D. EISENHOWER MATHEMATICS AND SCIENCE EDUCATION REGIONAL CONSORTIUMS PROGRAM
(CFDA No. 84.168)

I. PROGRAM PROFILE

Legislation: Title II, Part A, Subpart 2 of the Elementary and Secondary Education Act (Dwight D. Eisenhower Mathematics and Science Education Act), as amended (20 U.S.C. 2994) (expires September 30, 1999).

Purpose: The purpose of the Regional Consortiums Program is to disseminate exemplary mathematics and science education instructional materials and provide technical assistance in the implementation of teaching methods and assessment tools for use in elementary and secondary schools.

Funding History

Fiscal Year	Appropriation
1992	$12,000,000
1993	13,590,000
1994	13,871,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Department competitively awarded grants to establish and operate the Consortia to nine of its regional educational laboratories and to one non-profit organization, the College Board, which formed a regional alliance with the Regional Laboratory for Educational Improvement of the Northeast and Islands. The 3 year grants run from October 1, 1992 through September 30, 1995.

Each of the 10 Consortia serves the States within its region. In addition to working with State and local officials, the Consortia disseminate materials and provide technical assistance to classroom teachers, administrators, and other educators.

Services

The Regional Consortia are required to provide a variety of services to support systemic reform in math and science education:

(1) Provide technical assistance to help States adopt World Class standards in mathematics and science, formulate curriculum frameworks, and develop and implement new forms of assessment, teacher in-service and pre-service education, and teacher certification consistent with these standards and frameworks.

(2) Identify and disseminate exemplary mathematics and science education materials, teaching methods, and assessment tools for use in elementary and secondary schools.

(3) Train and provide technical assistance to classroom teachers, administrators, and other educators to adapt and use the curriculum frameworks, educational materials, teaching methods, and assessment tools.

(4) Provide financial assistance, if necessary, for teachers, administrators, and other educators to help design and to participate in Consortia activities.

(5) Collaborate extensively with the Eisenhower National Clearinghouse. All Consortia are to maintain on-line computer communications with the Clearinghouse and provide staff liaison.

Outcomes

Evaluation results on the contribution of the program to systemic reform in mathematics and science education will be available in FY 1997, with interim results in FY 1996. (See section IV below.)

III. SOURCES OF INFORMATION

1. Program files, program abstracts.

IV. PLANNED STUDIES

During FY 1993, the Department of Education began an evaluation of the Regional Consortiums Program. The purpose of the evaluation is to examine the extent to which the program is contributing to systemic reform in mathematics and science education, how it relates to other reform efforts, and how lessons learned can benefit future reform efforts. Evaluation results will be available in FY 1997, with interim results in FY 1996.

In addition, grantees are required to report to the Department on the Consortia's progress toward objectives and to collect data for evaluation. This information is not yet available.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Annora Dorsey, (202) 219-1496
Program Studies	:	Nancy Loy, (202) 401-1958

LEADERSHIP IN EDUCATIONAL ADMINISTRATION DEVELOPMENT
(CFDA No. 84.178)

I. PROGRAM PROFILE

Legislation: The Higher Education Act of 1965, P.L. 89-329, Title V, Part C, Subpart 2 as amended (20 U.S.C. 1109a-1109d) (expired September 30, 1992).

Purpose: The Leadership in Educational Administration Development program (LEAD) provided funding for the establishment or operation of State training and technical assistance centers to upgrade the leadership skills of elementary and secondary school administrators.

Funding History

Fiscal Year	Appropriation
1986	$7,176,000
1987	7,177,000
1988	8,222,000
1989	4,306,000
1990	3,845,000
1991	3,831,000
1992	370,000

II. PROGRAM INFORMATION AND ANALYSIS

(The program was not authorized in FY 1993; this is a final report on the program.)

Population Targeting

LEAD-funded centers served approximately 90,000 school administrators, including superintendents, principals, assistant principals, and other central office and building administrators--each year.

Services

Centers provided data collection and analysis; training programs, consultation, and technical assistance to school districts, schools, and administrators; and information dissemination. Data collection and analysis activities were designed to gather State-specific information on the training and technical assistance needs of administrators, so that the LEAD centers could plan their services accordingly. They included surveys of school boards, the State education agencies, and administrator organizations, as well as individual assessment instruments for administrators such as competency assessments. Topics covered included administrator turnover, demonstrating competencies, training needs, and certification requirements.

Training and technical assistance for inservice providers formed the heart of LEAD-funded center activities. Offerings in leadership training, assessment and other diagnostic processes, and school improvement and restructuring were among the topics covered. LEAD centers also worked with colleges and universities to reform their administrator preservice preparation programs.

In addition to shifting their emphasis from direct service delivery to long-term capacity building, LEAD-funded centers made use of private sector expertise. Centers arranged for training slots in corporate executive development programs, adapted corporate programs to State needs, and hence developed partnerships between schools or districts and business to develop and implement jointly supported long-term education plans.

Many centers offered special conferences, training, and support networks for both minority and women educators. Scholarships and other forms of financial support made their participation possible.

Program Administration

Federal funds were awarded on a competitive basis to support one LEAD center in each State, the District of Columbia, and the Pacific and Caribbean Insular Areas with equal funding for each center. Grants were for an initial period of 3 years. Grantees were then given 3 year extensions at a reduced level of Federal funding. The center in one State subsequently dropped out of the program. Each center was required by statute to provide matching funds in amounts equal to the Federal grant during the first 3 years, and could be awarded a 3 year extension if the grantee agreed to maintain the program with Federal assistance reduced by one-half. Two additional grantees withdrew from the program and rejected additional funding due to inability to provide matching funds. Many grantees are consortia or collaborative associations involving two or more organizations. Among the organizations providing services were State departments of education (23), colleges and universities (19), administrator or education associations (9), nonprofit organizations (3), a local education agency (1), and an area service agency (1).

Outcomes

The LEAD centers were required by law to conduct and submit annual progress reports to the Department. One consistent finding across the evaluations was that project participants reported generally high levels of satisfaction with services and indicated that they intended to apply new skills on the job. More recent evaluations of specific program elements noted that trainees' on-the-job behavior was more effective.

Centers developed new, research-based leadership training curricula, leadership diagnostic instruments, resource guides, and similar materials to support leadership training, which are available to LEAD centers nationwide. In addition, comprehensive, long-term programs replaced the single-focus workshop offerings in many States. Finally, formal assessment centers were introduced or expanded in several States coupled with complementary training programs to meet identified training needs. Centers provided advanced training programs to equip administrators to implement State reform policies and promote systemic educational change in such areas as effective schooling, restructuring, and strategic planning. In many States, LEAD centers promoted coalitions among educational organizations and associations, State agencies, and policymakers--promoting their involvement on a range of education-related issues.

LEAD centers also expanded their activities through additional resources. For example, Alaska and Maine LEAD centers competed for and received grants to operate Academies for School Leaders under the Secretary's Fund for Innovation in Education program. These grants enabled these centers to expand and continue the work they had conducted through LEAD.

According to program performance reports and evaluations, projects have helped reform preservice preparation programs, assisted minorities and women to enter and advance in the field of educational administration, and created collaborative relationships with the business sector to engage private sector resources in the improvement of school leadership.

III. SOURCES OF INFORMATION

1.Program files, grant applications, continuation applications and performance reports, and project evaluations.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Lynn Spencer, (202) 219-2179

Program Studies : Daphne Hardcastle, (202) 401-1958

STAR SCHOOLS PROGRAM
(CFDA No. 84.203)

I. PROGRAM PROFILE

Legislation: The Education for Economic Security Act, Title IX, as amended by Section 2302, Title IX of the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvements of 1988, P.L. 100-297, (20 U.S.C. 4081-4086) and as amended by P.L. 102-103 (expires September 30, 1999).

Purpose: To encourage improved instruction in the areas of mathematics, science, foreign languages, and other subjects such as literacy skills and vocational education. Grants allow telecommunications partnerships to aquire facilities and equipment, produce and distribute programming, and obtain technical assistance.

Funding History

Fiscal Year	Appropriation
1988	$19,148,000
1989	14,399,000
1990	14,813,000
1991	14,416,000
1992	18,417,000
1993	22,777,000
1994	25,944,000
1994	25,944,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The Star Schools Program supports eligible telecommunications partnerships organized on a Statewide or multi-State basis. Grantees are either public organizations established to operate telecommunications networks to provide educational programming, or partnerships of three or more of the following types of organizations, one of which must be a local education agency or a State education agency: State education agencies, institutions of higher

BEST COPY AVAILABLE

In the first funding cycle (FYs 1988-1989), most of the students served were located in small rural schools located in the southern and central regions of the Nation. In FYs 1990 and 1991 funding cycles, enhanced services were provided to the northwest and northeast regions. In addition, two of the four projects focused on students in urban settings. In the third cycle, a variety of technologies were used to provide services in urban, rural and suburban communities across the country.

Services

The program has provided services, including equipment, staff development, instructional programming, to more than 6,000 schools in 48 States, the District of Columbia, and the Virgin Islands. In addition, the dissemination projects provide technical assistance and training, or disseminate information about distance education opportunities to States and school districts not using distance education.

Project officers report the following:

o More than 20,000 students received high school credit in science, mathematics, or foreign language instruction through the program.

o More than 200,000 students participated in hands-on science experiments, instructional modules, electronic field trips and other activities.

o Nearly 50,000 teachers participated in staff development activities.

o Approximately 720, teachers in participating schools received college credit courses through the program and another 22,600 teachers participated in staff development seminars.

Program Administration

Funds may be used to develop and acquire instructional programming, and to provide equipment for distance learning service. Not less than 50 percent of the funds awarded must be for services, equipment, or facilities for local education agencies eligible to receive Chapter 1 funds, and not less than 25 percent must be for instructional programming. The grantees must match 25 percent of the funds except in the case of demonstrated hardship. While the program requires at least 25 percent matching funds, a survey of current grantees shows that there has been, on average, a 40 percent match.

Outcomes

Each of the projects previously funded under the Star Schools Program included an evaluation component. In most instances, the evaluation strategy involved formative and summative methods. Two of the former projects also included case studies which documented changes in both student behaviors, teacher attitudes, and school climate as a result of participation in the Star Schools activities. Some examples of these findings are presented below:

- Many teachers reported changing their approach to teaching as a result of the program, including using and valuing more open-ended, collaborative teaching; interdisciplinary team teaching; and new evaluation methods.

- Ninety-six percent of the science teachers in one project indicated that they had little competence in science prior to their participating in the program, and therefore, relied almost exclusively on the classroom textbook when teaching a science lesson. Because of the support received during the telecast staff development classes and the science classes for students, teachers indicated that they became more confident in presenting their own lessons and less dependent on the text book.

- Several students at a Louisiana high school received college credit based on their scores on an Advanced Placement economics examination. The facilitaor of the school stated that the satellite course prepared their students for the entrance examination.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

The program is currently conducting an evaluation.

IV. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Joseph Wilkes (202) 219-2186 Cheryl P. Garnette, (202) 219-2267
Program Studies	:	Robert Glenn, (202) 401-1958

JACOB K. JAVITS GIFTED AND TALENTED STUDENTS EDUCATION PROGRAM
(CFDA No. 84.206)

I. PROGRAM PROFILE

Legislation: Part B of Title IV of the Elementary and Secondary Education Act of 1965, as amended by the Augustus F. Hawkins - Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, and by the Higher Education Amendments of 1992, P.L. 102-325 (20 U.S.C. 3061-3068) (expires September 30, 1999).

Purpose: To support a coordinated program of research, demonstration projects, and personnel training to build schools' capability to identify and meet the special educational needs of gifted and talented students.

Funding History

Fiscal Year	Appropriation
1989	$7,904,000
1990	9,888,000
1991	9,732,000
1992	9,732,000
1993	9,607,000
1994	9,607,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Projects supported under this program either serve gifted and talented students directly, or increase the capability to do so. Gifted and talented students are defined as "children and youth who give evidence of high performance capability in areas such as intellectual, creative, artistic, or leadership capacity, or in specific academic fields, and who require services or activities not ordinarily provided by the school in order to fully develop such capabilities."

Priority in making awards is given to identifying students missed by traditional assessment methods (including children who are economically disadvantaged, limited-English-proficient, or have disabilities) and to education programs that include gifted and talented students from such groups.

Services

The program has both grant and contracting authority. Authorized activities include:

- preservice and inservice training of personnel involved in gifted and talented education;
- operation of model and/or exemplary programs to identify and educate gifted and talented students;
- provision of technical assistance and information dissemination; and
- support for State education agencies (SEAs) and institutions of higher education (IHEs) to assist public and private schools' operation of gifted and talented education programs.

In addition, there is a requirement to establish and support a research center for gifted and talented education using no more than 30 percent of the total appropriation. In FY 1990, the Department established that center with a first-year grant of $1.5 million to a consortium led by the University of Connecticut and including the University of Georgia, the University of Virginia, and Yale University. In FY 1993, the Department provided a fourth-year grant of $1.75 million to support the center's ongoing program of research, including:

- evaluation of current methods of identifying gifted students;
- examination of classroom practices and gifted and talented programs to determine their effectiveness in challenging students;
- study of new ways to measure the talents of students from historically underrepresented groups;
- evaluation of alternative ways of preparing teachers of gifted and talented students; and
- study of the progress of gifted students who are not served by special programs.

In FY 1993, 24 continuation grants and 10 new awards were made.

Program Administration

The authorizing legislation calls for the program to be a "national focal point" for information regarding gifted and talented education. In FY 1992, the following activities were conducted:

- annual conference for grantees to provide opportunities for grant recipients to share information and learn from other grantees' experiences with operating demonstration projects, conducting research, providing technical assistance, and providing preservice and inservice training in gifted and talented education; and

- meeting with representatives of leadership groups in gifted and talented education to develop a strategic plan for a national report.

Outcomes

According to a 1993 OERI report on the state of gifted and talented education in America, a "quiet crisis" exists in the way we educate our most talented students. "In a broad range of intellectual and artistic endeavors, these youngsters are not challenged to do their best work. This problem is especially severe among economically disadvantaged and minority students, who have access to fewer advanced educational opportunities and whose talents often go unnoticed." While effective programs for gifted students do exist, they are often limited in scope and substance (III.1).

The report states that gifted and talented students suffer from the same low expectations that plague all our students. Society encourages all our children to aim for academic adequacy rather than academic excellence, and high-achieving students are often given derogatory labels. Indeed, the very existence of gifted and talented education is sometimes criticized, as if helping our most outstanding students to reach their full potential were somehow an affront to other students (III.1).

To improve educational opportunities for our top students, the report recommends that we:

- set challenging curriculum standards;

- provide more challenging opportunities to learn;

- increase access to early childhood education;

- increase learning opportunities for disadvantaged and minority children with outstanding talents; and

- broaden the definition of gifted (III.1).

III. SOURCES OF INFORMATION

1. Pat O'Connell Ross, National Excellence: A Case for Developing America's Talent (Washington, DC: Office of Educational Research and Improvement, U.S. Department of Education, 1993).

2. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Pat O'Connell Ross, (202) 219-2187

Program Studies : Joanne Wiggins, (202) 401-1958

FUND FOR THE IMPROVEMENT AND REFORM OF SCHOOLS AND TEACHING
(FIRST)
FAMILY-SCHOOL PARTNERSHIPS
(CFDA No. 84.212)
SCHOOLS AND TEACHERS PROGRAMS
(CFDA No. 84.211)

I. PROGRAM PROFILE

Legislation: Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, Title III, Part B (20 U.S.C. 4801-4843), as amended (expires September 30, 1999).

Purpose: To improve the educational opportunities for and the performance of elementary and secondary school students and teachers; and to encourage local education agencies to increase the involvement of families in the improvement of the educational achievement of their children.

Funding History

Fiscal Year	Appropriation 1/
1989	$5,928,000
1990	8,358,000
1991	8,894,882
1992	9,250,000
1993	9,083,744
1994	9,083,744

1/ Breakdown of appropriations is as follows:

	FY 1989	FY 1990	FY 1991	FY 1992	FY 1993
Family-School Partnership Programs (CFDA No. 84.212A)	$1,976,000	$4,443,000	$3,610,952	$3,755,000	$3,687,264
Schools and Teachers: School-Level Program (CFDA No. 84.211B)	1,526,899	2,090,000	2,445,809	2,496,894	2,294,482
Other Schools and Teachers Program CFDA No.84.211A)	2,275,101	1,675,000	2,688,123	2,848,106	2,951,998
Dissemination and Reporting	150,000	150,000	149,998	150,000	150,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program serves elementary and secondary school students and their families, teachers, and related personnel.

Services

The FY 1993 Family-School Partnerships program continued to focus on at-risk students and their families. The risk factors addressed include the effects of poverty, minority status, limited English proficiency, and disability. Twelve new grants and 14 continuation grants were awarded in 1993.

Examples of the new projects funded for 1993 include:

- The School District of Philadelphia project supports a school-based Teen Parent Family Center to help teen parents and their children by combining Head Start and early childhood practices with the curriculum and principles of Missouri's Parents as Teachers Program. The project's aim is to raise teen and child academic achievement, keep teens in school, enroll children in early childhood programs, and improve parenting skills. Sixty participating teens and their children are receiving monthly home visits by trained social workers, as well as parenting education, health care referrals, child care, career education, and job search assistance.

- Project PACT (Parents and Children Together for Learning) in Brooklyn, New York works to improve readiness skills of at-risk 3- and 4-year olds. The children to be served reside in Community School District 18 and are either economically disadvantaged, limited English proficient or learning disabled. The project trains educators and parents to tap into children's individual strengths to foster their learning. PACT brings together families, schools and the Children's Television Workshop Sesame Street Preschool Education Program to develop materials that parents can use with their children to reinforce educational concepts that are taught during Sesame Street.

Under the FY 1993 Schools and Teachers Program-- School-Level Program, 26 grants received continuation funding, and two new grants were awarded. By statute, 25 percent of the FIRST appropriation must be awarded to school-level projects. Grant awards are by statute limited to a range of $5,000 to $125,000. When continuation costs fell just short of the 25 percent required funding level, two unsolicited applications from Dade County, Florida were funded. Funds went to local schools in the Hurricane Andrew disaster area for projects dealing with school readiness, high school completion, and improving achievement.

Among these continuation projects are the following:

- A 2-year project to increase opportunities for at-risk students in the "world of work." A key element is the creation of a Center for Student Business Services, operated by students for students and consisting of a limited-use branch bank, a campus store, a consignment shop, a yogurt concession, a Ticketron booth, and other small 77businesses.

- A 3-year project to provide a college preparation and mentoring program for bilingual students who exhibit an interest in teaching as a career. It establishes a support system by pairing the identified bilingual high school students with 5th-year bilingual secondary teacher-credential candidates who tutor and mentor the students from their sophomore through senior years.

Under the FY 1993 Schools and Teachers Program, 11 continuation projects were funded. Projects conduct activities to refocus priorities and to reallocate existing human and financial resources to serve children. Among the continuation projects were:

- A 3-year project in Detroit that asserts that a parent is not only part of the educational team affecting a child, but that a parent is the child's first and most important teacher. The project focuses not only on the direct education of children, but also on the skill development of parents so that learning effectiveness is maximized. The result is that the education process at the school is looked on as not just one teacher working with 30 students, but rather 30 to 60 parents, the teacher, and the children working together.

- A 3-year project in the District of Columbia that is a collaborative effort of education, community service, and mental health professionals which aspires to benefit students with below-average academic performance and to lead to increased access for all students to a high-quality education. The project works with teachers, students, parents, and community members of six schools in which the student immigrant population is close to 10,000, a 72 percent increase in the last 5 years.

Management Improvement Strategies

The FIRST Program conducts a workshop for project directors annually and an independent contractor conducts regional workshops in response to requests for technical assistance. A plan is in place for the contractor to provide technical assistance to assist grantees in evaluating and measuring the impact of funded projects. A FIRST Program monitoring plan is in place to increase the frequency of telephone and on-site monitoring that will improve the effectiveness of technical assistance, the quality of information about programs, and knowledge about products. A concerted effort is being made to improve the quality and relevance of reports received from funded programs.

III. SOURCES OF INFORMATION

1. Program files.

2. Abstracts of FY 1991, FY 1992, and FY 1993 funded projects.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Bryan Gray, (202) 219-1496

Program Studies : Robert Glenn, (202) 401-1958

SECRETARY'S FUND FOR INNOVATION IN EDUCATION
(CFDA No. 84.215A,D and G)

I. PROGRAM PROFILE

Legislation: Elementary and Secondary Education Act of 1965, Title IV, Part F as amended by P.L. 100-297, Title I (20 U.S.C. 3151-3157), as amended (expires September 30, 1999).

Purpose: The Secretary's Fund for Innovation in Education supports programs and projects that show promise in identifying and disseminating innovative educational approaches, including projects in educational technology, computer-based instruction, comprehensive school health education, and alcohol abuse education. Support is offered either directly or through grants or contracts with State and local education agencies, institutions of higher education, and other public and private agencies, organizations, and institutions.

Funding History

Fiscal Year	Appropriation
1989	$14,690,000 1/
1990	18,939,000
1991	27,736,634
1992	27,800,000 2/
1993	28,007,730 3/
1994	36,963,000 4/

1/ Includes $4,528,000 in unobligated balances reappropriated from 1985 and 1986 appropriations for the Excellence in Education program.

2/ For comparability, the 1992 amount includes $3.8 million for Civic Education that was included in the School Improvement Programs account.

3/ In FY 1993, $4,345,952 was included in the FIE appropriation for Civic Education.

4/ In FY 1994, $4,463,000 was included in the FIE appropriation for Civic Education.

FY 1991 through 1993 Funds

Program	1991	1992	1993
Innovation in Education	$16,662,000	$10,308,000	$16,469,000
Educational Technology	665,000	5,797,000	-0-

Computer-Based Instruction	3,874,000	860,000	1,758,000
Comprehensive School Health Education	4,561,000	4,437,000	4,455,000
Innovative Alcohol Abuse Education	1,975,000	2,053,000	980,000
Civic Education	-0-	3,800,000	4,346,000
Other	-0-	545,000	-0-

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Projects funded by the program serve preschool, elementary, and secondary school students, teachers, and related education personnel.

Services

- Innovation in Education Program.

  In FY 1993, two competitions were held under the Innovation in Education Program: Innovation in Education General Competition and the Curriculum Frameworks Competition. Through the General Competition, $2 million was awarded to support 10 projects that offer innovative educational approaches for improving elementary and secondary education. This competition focused on improving student achievement in the core subjects. The Curriculum Framework Competition awarded $3 million to support the work of 14 States to develop Curriculum Frameworks in the core academic subjects, and to revamp their teacher preparation and certification requirements to align with the proposed frameworks.

- Computer-Based Instruction Program.

  In 1993, 13 grants were issued totalling $1.8 million. Most of the projects are demonstrating model strategies to train teachers in the use of computers for teaching core subjects.

- Comprehensive School Health Education Program.

  The FY 1993 competition awarded grants totalling more than $1.3 million to 11 new projects exploring ways to provide comprehensive school health education to elementary and secondary school students. An additional $3.2 million was used to continue funding for 23 similar projects begun in FYs 1991 and 1992.

- Innovative Alcohol Abuse Education Program.

  In FY 1993, nearly $1 million was transferred to the Department of Health and Human Services for a combined project to print the Connections Kit and a handbook for teachers, Promoting Resiliency. These materials were then distributed through five grantees who had received funding in FY 1991 and FY 1992.

- Civic Education Program.

  In FY 1993, $4.3 million was awarded to the Center for Civic Education for the program entitled, "We the People... The Citizen and the Constitution." In each Congressional district in the nation, classes at the elementary, middle, and high school levels studied curricular materials on the Constitution and Bill of Rights. As a culminating activity, students at the elementary, middle, and high school levels participated in Mock Congressional Hearings designed to determine the depth of understanding of that they had studied. At the High School level, students participated in nationally competitive Mock Congressional Hearings. Approximately 4 million students participated in the program.

The Secretary's Fund for Innovation in Education is operated primarily as a grant program. Projects are administered by State education agencies, local education agencies, institutions of higher education, and other public and private agencies or institutions.

Outcomes

All projects include evaluation components and are required to submit final performance reports, including evaluation funding.
The 30 grantees of the Comprehensive School Health Education Program (CSHEP) have provided inservice training for numerous teachers, instituted comprehensive health education throughout hundreds of schools, established core health education teams, and instituted innovative curricula in schools in their States and school districts.

III. SOURCES OF INFORMATION

1. Secretary's Fund for Innovation in Education: Innovation in Education Program, 1989, 1990, 1991, 1992, and 1993 Awards for Education Reform--Project Summaries (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office).

2. Program files.

3. Secretary' Fund for Innovation in Education Program Computer Based Instruction Program, Fiscal Year 1989, 1990, and 1993 Grants (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office).

4. Secretary's Fund for Innovation in Education: Technology Education Program, 1990 Awards--Project Summaries (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office).

5. Comprehensive School Health Education Program: Abstracts of the 1989, 1990, and 1991 Awards and Key Contact Directory (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office, 1990).

6. U.S. Department of Education Activities Related to School Health Education: Summary Report of 1989-90 Activities (Washington, DC: Office of Educational Research and Improvement, Fund for the Improvement and Reform of Schools and Teaching Office, 1990).

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Bryan Gray (202) 219-1496 or for specific program authorities:

Innovation in Education Program--(202) 219-1496
  General Authority: Allen Schmieder
  Content Standards: Seresa Simpson
  Professional Development: Jaymie Lewis

Comprehensive School Health Education Program:
  Shirley Jackson (202) 219-1556

Technology Education Program:
  Cheryl Garnette (202) 219-2267

Computer-Based Instruction:
  Jaymie Lewis (202) 219-1496

Civic Education Program:
  Anne Fickling (202) 219-1496

Program Studies: Robert Glenn, (202) 401-1958

EDUCATIONAL PARTNERSHIPS PROGRAM
(CFDA 84.228)

I. PROGRAM PROFILE

Legislation: Educational Partnerships Act of 1988, Title VI, Subtitle A, Chapter 5 of the Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418 (20 U.S.C. 5031-5039) (Expired September 30, 1993).

Purpose: To encourage the creation of alliances between public elementary and secondary schools or institutions of higher education and representatives of the private sector in order to: 1) work together on school improvement projects, 2) enrich the career awareness of secondary or postsecondary school students and provide exposure to the work of the private sector, and 3) encourage businesses to work with educationally disadvantaged and gifted students.

Funding History

Fiscal Year	Appropriation
1990	$3,703,000
1991	4,233,000
1992	4,233,000
1993	4,135,564
1994	0

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Funds are awarded to eligible partnerships consisting of one or more local education agencies or institutions of higher education, or both, and one or more of the following: a business concern, a community-based organization, a non-profit private organization, a museum, a library, an educational television or radio station, or an appropriate State agency. Funds may be used for a variety of school improvement activities in public elementary and secondary schools or in institutions of higher education. In FY 1992 and FY 1993, only those projects focusing both on fundamental educational improvement through systemic change and Goal 3 of the National Education Goals were funded.

Services

In FY 1993, four new grants that focus on fundamental educational improvement through systemic change and Goal 3 were awarded a total of $1,075,042. An additional $2,757,680 was awarded for continuation projects. Another $257,963 was awarded to complete the 3rd-year evaluation of these grants. The 4-year projects supported under this program represent a broad range of activities such as programs for gifted and talented and disadvantaged students, curriculum reform projects, mentoring and career awareness activities, transition from school-to-work projects, systemic reform projects, coordinated social services, and Statewide projects. Projects include school districts, universities, community colleges, community and social service agencies, nonprofit organizations, museums, parents' organizations, business/industry, and State education agencies. Each project works with a variety of partners. A total of 30 projects in 20 states have been funded since FY 1990.

III. SOURCES OF INFORMATION

1. Program files.
2. A Guide to Developing Educational Partnerships. (Washington, D.C.: U.S. Department of Education; also, Superintendent of Documents s/n 065-000-00619-7. $4.25 per copy.)
3. Project Abstracts: Educational Partnership Program. (Washington, D.C.: U.S. Department of Education, October, 1993.)
4. Synthesis of Existing Knowledge and Practice in the Field of Educational Partnerships. (Washington, D.C.: U.S. Department of Education; also, Superintendent of Documents s/n 065-000-0061-9. $3.50 per copy.)
5. "Documentation and Evaluation of the Educational Partnerships Program: Yearly Reports." (Los Alamitos, CA.: Southwest Regional Laboratory.)

IV. PLANNED STUDIES

The Department is completing a study of projects funded under this program to determine the impact on participating elementary and secondary schools and institutions of higher education; the extent to which activities assisted under this program have improved or expanded the nature of support for elementary and secondary education; and which activities show promise for expansion or adaptation to other settings. Also to be studied is the relationship between the matching funds (cash or in-kind support) requirement and project success and institutionalization. This study began in FY 1991 and completion is projected for March 31, 1995.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations	:	Susan Gruskin, (202) 219-2116
Program Studies	:	Robert Glenn, (202) 401-1958

MID-CAREER TEACHER TRAINING PROGRAM
(CFDA No. 84.232A)

I. PROGRAM PROFILE

Legislation: Higher Education Act of 1965, Title V, Part A, as amended by P.L. 99-498, (20 U.S.C. 1103-1103d.) (expired September 30, 1992). The program was not reauthorized in the Higher Education Amendments of 1992.

Purpose: To encourage institutions of higher education to establish and maintain programs that will provide teacher training to individuals who are moving to a career in education from another occupation.

Funding History:

Fiscal Year	Appropriation
1990	$987,000
1991	$987,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

Institutions of higher education with schools or departments of education were eligible to apply to the program. Applicants had to develop their mid-career teacher training programs with the cooperation and assistance of the local business community and under cooperative agreement with one or more State or local education agencies. The military, private foundations, social service agencies, and other community representatives were also frequently involved in projects. The projects provided teacher training and certification to individuals moving from other occupations into teaching careers. The projects emphasized recruiting minorities into teaching, serving at-risk children, and meeting crucial shortages in teacher supply.

Services

The Education Department awarded 10 grants under this program in FY 1990 and 10 more in FY 1991. Each of the grants was for 2 years in length and each of the 10 U.S. Department of Education geographic regions was represented by at least one project. Several projects requested an extension, and thus two projects did not expect to complete their programs until the summer of 1994.

All of the projects were intended to reduce financial and duplicative coursework barriers to teacher training and certification. The training offered in the grantees' projects ranged from 6 to 24 months and included mentoring by expert teachers and on-the-job instruction leading to teacher certification and, in some cases, a master's degree. The projects differed in their curricula and subject matter areas, but emphasis was on teaching in geographic or subject areas in which shortages existed. These areas included inner-city schools, schools in remote rural areas, secondary math and science, early childhood education, special education, and the education of limited-English-proficient students.

Program Administration

Applications were approved by the Assistant Secretary for Educational Research and Improvement after review by external peer experts and Departmental staff. The criteria to be used in selecting projects were published in the Federal Register.

Management Improvement Strategies

Education Department staff provided technical assistance to the projects to help them develop final reports that would document the activities and outcomes of their programs. Data collected from these reports were to be used by the individual projects to improve their programs. In late 1994, the data were being synthesized by Department of Education staff for policymakers and practitioners around the Nation.

III. SOURCES OF INFORMATION

1. Program files.

2. A summary report on "lessons learned" was in production in late 1994.

IV. PLANNED STUDIES

Approximately 500 teachers were certified through projects funded by this program; the majority have been certified in critical shortage areas. At the end of 2 years, all grantees were required to write a final report which summarized their program's operations, strengths, weaknesses, and outcomes. The first round of reports were due in September of 1992.

In addition, the Education Department and representatives of the 20 projects are designing an evaluation report which will synthesize project activities, outcomes, and "lessons learned" from all of the projects. The evaluation report for all of the projects was being written in late 1994 after program operations ended and projects submitted their final reports. (Three projects requested extensions, so all of the reports were not completed until the summer of 1994.)

V. CONTACTS FOR FURTHER INFORMATION

Program Operations: Joseph Vaughan (202) 219-2193

Program Studies : Elizabeth Eisner (202) 401-0182

CIVIC EDUCATION PROGRAM
(CFDA No. 84.215)

I. PROGRAM PROFILE

Legislation: Part F of Title IV of the Elementary and Secondary Education Act of 1965, as amended, P.L. 100-297 (20 U.S.C. 3156b) (expires September 30, 1999).

Purpose: To support instruction on the history and principles of democracy in the United States, with a particular focus on the Constitution and the Bill of Rights.

Funding History

Fiscal Year	Appropriation
1992	4,463,000[1]
1993	4,346,000[1]
1994	4,463,000

II. PROGRAM INFORMATION AND ANALYSIS

Population Targeting

The program provides teacher training and curriculum materials for upper elementary, middle, and high school students.

Services

In 1993, the Center for Civic Education distributed about 217,500 free workbooks: 85,500 high school level, 66,000 middle school level, and 66,000 elementary level texts. For the 1992-93 academic year, the Center intended to train an estimated 56,000 teachers.

---

[1] These amounts are also included, for comparability, under the FIE program (Chapter 620).

The curriculum, entitled We the People, seeks to promote American political values among students, including support for the constitutional rights and civil liberties of dissenting individuals and groups.

Program Administration

The program authorizes a noncompetitive grant to the nonprofit Center for Civic Education in Calabasas, California.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Anne Fickling, (202) 219-1496

Program Studies : Joanne Wiggins, (202) 401-1958

EDUCATIONAL IMPROVEMENT PARTNERSHIPS--NATIONAL PROGRAMS
BLUE RIBBON SCHOOLS
(No CFDA Number)

I. PROGRAM PROFILE

Legislation: Title I, Chapter 2, Part B, Section 1566 of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297, (20 U.S.C. 2966), as amended (expires September 30, 1999).

Purpose: To recognize elementary and secondary schools which have established standards of excellence and which have demonstrated high quality.

Funding History 1/

Fiscal Year	Appropriation
1989	$889,000
1990	494,000
1991	885,000
1992	864,159
1993	899,000
1994	879,000

1. This program is one of several activities authorized by ESEA, Title I, Chapter 2, Part B. The maximum amount authorized for Part B is 6 percent of the amount appropriated for Chapter 2. Section 1566 establishes a maximum level of $1,500,000 for the Blue Ribbon Schools program.

II. PROGRAM INFORMATION AND ANALYSIS

Program Administration

The program, first authorized for FY 1989, continues the elementary and secondary school recognition programs, which had been conducted by the Department since FY 1983 under other authority. Elementary and secondary schools are selected in alternate years. Schools are competitively selected and nominated by State departments of education, the Bureau of Indian Affairs, the Department of Defense Dependents Schools, and Council for American Private Education. Nominated schools are reviewed by a panel of experts, which selects schools for on-site examination by other non-Federal experts.

In FY 1992, 228 elementary schools were selected as Blue Ribbon Schools from among the 478 nominated. Of those, two received special honors for outstanding history programs from the National Endowment for the Humanities.

In FY 1993, 260 secondary schools were selected as Blue Ribbon Schools from among the 488 nominated. Of these, three received special honors in mathematics and were honored by the National Council of Teachers of Mathematics. Three received special honors in science and were honored by the National Science Teachers Association.

III. SOURCES OF INFORMATION

1. Program files.

IV. PLANNED STUDIES

None.

V. CONTACTS FOR FURTHER INFORMATION

Program Operations : Stephen O'Brien, (202) 219-2141

Program Studies : Barbara Coates, (202) 401-1958

APPENDIX

EVALUATION CONTRACTS ACTIVE IN OUS DURING FISCAL YEAR 1993

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1994 1993	$412,666 $300,000	**Evaluation of the Eisenhower Mathematics and Science Education State Curriculum Frameworks Projects and Regional Consortiums Program** The evaluation examines the quality of curriculum frameworks in mathematics and science developed under the grant projects and determine effects on teacher education, teacher certification, and elementary and secondary mathematics and science instruction and assessment in participating states.	SRI International EA 93 0610 01	9/29/93	12/28/97	Loy
1993 1992 1991 1990 1989 1988 1987	$149,625 $132,575 $161,000 $160,706 $132,000 $130,000 $150,000	**Chapter 1 Program Data** The task order maintains the Chapter 1 basic and Migrant program databases and prepares annual reports for both.	Westat, Inc. LC 89 0150 01	10/1/89	9/30/94	Coates/Bogart
1992	$73,646	**National Profile of Chapter 1 District Level Funding and Demographics** This task order supports the synthesis of data from several sources (Census, NCES and OPP) on the overall patterns of educational funding across school districts and the relationship of federal education funds, especially Chapter 1 funds, to other State and local funds available to school districts.	Westat, Inc. LC 89 0150 01	7/13/92	10/31/93	Coates/Bogart
1993 1992 1991	$109,485 $240,680 $140,000	**GEPA 406(a) Report on Distribution of State-administered Grants** This task order supports annual data collection and reporting on State sub-allocations of Federal education grants.	Westat, Inc. LC 89 0150 01	10/1/90	9/6/94	Coates/Stullich
1992 1991 1990 1989	$255,792 $600,000 $574,450 $118,000	**Technical Analyses in Elementary and Secondary Education** This task order responds to quick turnaround requests for literature reviews, short-term studies, and data analysis involving the education of disadvantaged students.	Westat, Inc. LC 89 0150 01	10/1/89	9/30/94	Coates

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1993	$99,572	**Graphics and Analytic Support** This task order responds to requests for graphic displays of information and analyses of information related to federal education program and reform initiatives.	Westat, Inc. LC 89 0150 01	9/30/92	9/30/93	Coates/Long
1991 1989	$336,933 $701,065	**Chapter 1 Implementation Study** This study examined State and local implementation of the new Chapter 1 program requirements under P.L. 100-297 through an LEA mail survey and site visits to SEAs, LEAs and schools. Information was collected on program improvement, schoolwide projects, evaluation procedures and parent involvement. The study also replicated the previous National Assessment of Chapter 1 School Survey to obtain information on: characteristics of Chapter 1 schools, Chapter 1 program configurations, characteristics of Chapter 1 teachers, and coordination of Chapter 1 with the regular school program.	Abt Associates, Inc. LC 89 0380 01	10/1/89	6/30/93	Hardcastle
1991 1989	$24,951 $650,000	**Assessing Before and After School Care** This study, nationally representative in scope, examined the extent and characteristics of before and after school care programs. Chapter 1 programs that extend learning time is a particular focus.	RMC Research Corporation LC 89 0510 01	10/1/89	10/30/92	Hardcastle
1993	$49,554	**Studies on Results of Services to at-Risk Secondary Students** This project is for preparation of the handbook on issues related to secondary strategies for disadvantaged students who are at-risk.	Pelavin Associates, Inc. LC 89 0880 01	3/23/93	2/28/94	Bogart
1993	$144,758	**Study of Intrastate Fiscal Equity** This activity supports a task order to assess he equity of school district funding within each of the 50 states as a major issue in Chapter 1 funding. This study will compare the relative standing of each state on different equity indicators and will examine trends in equity within each state in the context of school finance litigation and reform legislation	Pelavin Associates, Inc. LC 89 0880 01	8/25/93	8/25/94	Stullich

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS

ELEMENTARY AND SECONDARY EDUCATION

During Fiscal Year 1993

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1991	$402,036	**Studies of Chapter 1 Services to Nonpublic School Students** Surveys and case studies addressing Chapter 1 services to private school students, which focused on local education agencies and private sectarian schools, provided detailed data on the rate of student participation, the types of services non-public school participants received, and the effectiveness of these services.	Policy Studies Associates LC 89 0890 01	8/1/91	10/30/92	Coates/Bogart
1991	$96,789	**Followup State Survey of Chapter 1 Programs** Through surveys assess how states implemented the Chapter 1 program requirements in 1989-90 and 1991-92.	Policy Studies Associates, Inc. LC 89 0890 01	4/1/91	10/30/92	Coates/Hardcastle
1991 1990	$15,000 $184,085	**International Study of Children and Youth at Risk** This project was a part of an OECD activity to examine programs that held promise for being successful in educating disadvantaged children. Case studies of six programs were conducted under this task order.	Policy Studies Associates LC 89 0890 01	12/1/90	12/31/92	Coates/Scott
1991	$231,000	**Evaluation of the Effectiveness of Educational Personnel Development Projects (EPD) in Indian Education** Through surveys of EPD project directors and participants and visits to selected sites, this study examined the effectiveness of the EPD program in preparing persons for careers in education that serve American Indian students.	Policy Studies Associates LC 89 0890 01	9/30/91	3/30/93	Loy/Coates
1991	$113,452	**Lessons for School Reform** This task order built on the OECD Children and Youth at Risk project by continuing to conduct case studies of effective programs. The focus of the study was projects that combine a centralized government's policy on goals, curriculum and assessment with local autonomy over the implementation of reform and management of resources.	Policy Studies Associates LC 89 0890 01	10/1/91	3/30/93	Coates/Scott

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS

ELEMENTARY AND SECONDARY EDUCATION

During Fiscal Year 1993

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1992 1991	$99,605 $712,456	**National Study of Chapter 2** This study examines the uses of Chapter 2 funds, the extent to which Chapter 2 leverages education improvement efforts, and the coordination of Chapter 2 activities with Federal and State initiatives. The study reports on Chapter 2-supported activity in all States and in a sample of school districts.	Policy Studies Associates LC 89 0890 01	5/1/91	1/30/94	Coates
1993 1992 1991 1990 1989	$85,000 $250,000 $210,000 $276,000 $354,000	**Data Analysis** This task order responded to quick turnaround requests for literature reviews, short-term studies, and data analysis involving the education of disadvantaged students.	Policy Studies Associates LC 89 0890 01	10/1/90	4/28/94	Coates
1993	$250,000	**Educational Reform and the National Goals** The purpose of this task order is to respond to requests for data, information, and policy analysis related to the implementation and achievement of the National Education Goals and other education reform initiatives.	Policy Studies Associates LC 89 0890 01	5/31/93	5/31/94	Coates
1993	$189,836	**Evaluation of Indian Education Technical Assistance Centers (IETACs)** This Task Order evaluates the effectiveness of the six IETACs in disseminating information on evaluation and successful practices and providing technical assistance in program planning, development, management, implementation, and evaluation. The study collects data from IETACs and their clients, including local educational agencies, BIA schools, Indian-controlled schools, and others.	Policy Studies Associates LC 89 0890 01	5/12/93	9/30/94	Loy/Cotes
1993	$159,358	**Evaluation of the Education-Related Provision in the McKinney Homeless Assistance Act** This task order evaluates the implementation of the education-related provisions in the Stewart B. McKinney Homeless Assistance Act.	Policy Studies Associates LC 89 0890 01	5/19/93	5/19/94	Wiggins

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1991	$142,832	**Formative Evaluation of the Chapter 1 Program Improvement Initiative** This task order collected information and report on the technical assistance services and program improvement activities underway in each of the sites in the 9-Site Program Improvement Initiative.	Policy Studies Associates LC 89 0890 01	8/1/91	3/15/94	Hardcastle/Coates
1992 1991	$126,042 $144,734	**Identifying Model Strategies in Bilingual Education** This study consisted of the development of handbooks on effective strategies for Instruction, Staff Development, and Parent Involvement in Bilingual Education. Information for these handbooks was developed through literature reviews and case studies.	Policy Studies Associates LC 89 0890 01	9/1/91	12/30/92	Coates/Moguel
1992	$16,944	**Task Force on Chapter 1 Testing Issues** Supported work of task force on Chapter 1 testing issues.	Policy Studies Associates LC 89 0890 01	2/5/92	2/1/93	Scott/Coates
1991 1990 1989 1987	$59,627 $56,148 $126,000 $55,000	**Preparation of Compensatory Education Sourcebook: Project Profiles** This task order supports the preparation of abstracts based on applications selected through the Chapter 1 recognition program. The abstracts are published annually in the Compensatory Education Sourcebook.	Policy Studies Associates LC 89 0890 01	10/1/89	9/30/94	Coates/Greenfield
1991	$89,295	**Evaluation of the Academic Excellence Program** This study examined the success of the projects supported under the Title VII Academic Excellence Program in terms of such measures of effectiveness as the number of replications facilitated.	Policy Studies Associates LC 89 0890 01	9/1/91	5/30/93	Coates/Moguel
1993	$114,229	**Third-year Evaluation of the Nine-site Program Improvement Initiative** The Nine-Site Program Improvement Initiative was launched in 1990 to examine how sustained technical assistance at the school site can contribute to Chapter 1 program improvement.	Policy Studies Associates LC 89 0890 01	3/29/93	3/29/94	Hardcastle

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS
During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1993	$89,882	**State Standards, Frameworks and Assessments** This study outlined the status of state's development of content standards, frameworks and assessments.	Policy Studies Associates LC 89 0890 01	9/30/93	9/30/94	Bogart
1993 1992 1991 1990 1989	$79,581 $137,000 $211,990 $500,000 $1,483,000	**Observations in Child Care Centers** This study, which involved observations in child care centers, is analyzing the range of experiences in extrafamilial care for preschool children. A substudy of Chapter 1 programs is examining child outcomes as well as the quality of the early childhood education offered. A modification identified additional Chapter 1 sites and uses an intensive observation instrument.	Development Associates,Inc. LC 89 0980 01	10/1/89	3/31/93	Scott
1990	$1,328,658	**Special Strategies for Educating Disadvantaged Children - Urban** The identification of special strategies in schools with Chapter 1 programs or eligible for Chapter 1 programs accompanies the Chapter 1 Longitudinal Study Design Contract and the Chapter 1 Longitudinal Study Implementation Contract. Two contracts were awarded, this one on urban sites. The purpose of these case studies was to provide additional information on appropriate strategies which support success for Chapter 1 children.	The Johns Hopkins University LC 90 0100 01	9/1/90	10/30/94	Scott
1990	$1,346,670	**Special Strategies for Educating Disadvantaged Children - Suburban/Rural** The identification of special strategies in schools with Chapter 1 programs or eligible for Chapter 1 programs accompanies the Chapter 1 Longitudinal Study Design Contract and the Chapter 1 Longitudinal Study Implementation Contract. Two contracts were awarded, this one focuses on suburban and rural sites. The purpose of these case studies is to provide additional information on appropriate strategies which support success for Chapter 1 children.	The Johns Hopkins University LC 90 0100 02	9/1/90	10/30/94	Scott
1990	$952,643	**Study of Effective Schools Programs : Their Implementation and Success** This evaluation examines effective schools programs and an array of schoolwide reform efforts designed to encourage high performance for all students. The study assessess the extent to which Federal Chapter 2 funds and requirements support these programs and also examines state and district support. Guidance will be provided to educators on how to implement effective schools programs successfully.	SRI International LC 90 0350 01	9/17/90	2/17/95	Loy

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1994 1993 1991 1990	$49,993 $452,501 $2,000 $804,715	**Magnet Schools Study** This study is collecting nationally descriptive data on magnet schools funded by ED as well as other magnet programs. It expands upon the 1983 Lowry Associates study of magnet schools and investigate the effectiveness of these schools in improving education outcomes, racial balance, and student/teacher attitudes.	American Institutes for Research LC 90 0430 01	9/1/90	7/30/96	Stullich
1991 1990	$561,819 $312,750	**Chapter 1 Program Improvement Initiative** This initiative supported targeted, intensive technical assistance to nine Chapter 1 program improvement sites. These demonstrations provided guidance for replication of significant efforts at Chapter 1 program improvement.	Five Technical Assistance Centers LC 90 1240 01	5/1/90	5/31/93	Hardcastle
1992 1991	$245,844 $463,296	**Descriptive Study of Services to LEP Students** This study examined Title VII, State, and locally-supported programs of bilingual education in the following areas: identification, referral and exit procedures; follow-up procedures on exited students; types of services, including ESL and developmental programs; staffing; costs of services; and the influence of federal and State laws and regulations governing services parental involvement, and program accountability.	Development Associates, Inc. LC 91 0030 01	1/1/91	1/30/93	Rodamar
1994 1993 1992 1991	$44,442 $1,057,525 $1,156,327 $663,434	**Chapter 1 Technical Assistance Centers - Region A** Supports annual Chapter 1 Region A TAC.	RMC Research Corporation LC 91 0270 01	7/1/91	6/30/96	Cotes
1993 1992 1991	$946,877 $993,241 $755,006	**Chapter 1 Technical Assistance Centers - Region B** Supports annual Chapter 1 Region B Technical Assistance Center.	PRC, Inc. LC 91 0270 02	7/1/91	6/30/96	Bogart
1993 1992 1991	$744,959 $780,195 $493,090	**Chapter 1 Technical Assistance Centers - Region C** Supports annual Chapter 1 Region C Techical Assistance Center.	Educational Testing Service LC 91 0270 03	7/1/91	6/30/95	Hardcastle

BEST COPY AVAILABLE

ELEMENTARY AND SECONDARY EDUCATION

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1993 1992 1991	$1,038,300 $1,023,707 $670,200	**Chapter 1 Technical Assistance Centers - Region D** Supports annual Chapter 1 Region D TAC.	Research and Training Associates, Inc. LC 91 0270 04	7/1/91	6/30/95	Coates
1993 1992 1991	$715,913 $696,579 $453,870	**Chapter 1 Technical Assistance Centers - Region E** Supports annual Chapter 1 Region E TAC.	RMC Research Corporation LC 91 0270 05	7/1/91	6/30/94	Bogart
1993 1992 1991	$782,162 $786,997 $488,600	**Chapter 1 Technical Assistance Centers - Region F** Supports annual Chapter 1 Region F TAC.	Farwest LAB LC 91 0270 06	7/1/91	6/30/94	Hardcastle
1993 1992 1991	$700,810 $668,397 $636,453	**Chapter 1 Rural Technical Assistance Centers - Region 1** Supports Chapter 1 Rural Technical Assistance Center.	RMC Research Corporation LC 91 0280 01	7/1/91	6/30/96	Cotes
1993 1992 1991	$638,220 $689,700 $683,453	**Chapter 1 Rural Technical Assistance Centers - Region 2** Supports Chapter 1 Rural Technical Assistance Center.	PRC, Inc. LC 91 0280 02	7/1/91	6/30/96	Bogart
1993 1992 1991	$729,190 $746,315 $682,451	**Chapter 1 Rural Technical Assistance Centers - Region 3** Supports Chapter 1 Rural Technical Assistance Center.	Educational Testing Service LC 91 0280 03	7/1/91	6/30/95	Hardcastle

ACTIVE EVALUATION CONTRACTS
During Fiscal Year 1993

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1993 1992 1991	$727,573 $767,032 $718,663	**Chapter 1 Rural Technical Assistance Centers - Region 4** Supports Chapter 1 Rural Technical Assistance Center.	Research and Training Associates, Inc. LC 91 0280 04	7/1/91	6/30/95	Coates
1993 1992 1991	$708,620 $676,176 $637,378	**Chapter 1 Rural Technical Assistance Centers - Region 5** Supports Chapter 1 Rural Technical Assistance Center.	RMC Research Corporation LC 91 0280 05	7/1/91	6/30/94	Bogart
1994 1993 1992 1991	$77,509 $714,670 $680,282 $636,693	**Chapter 1 Rural Technical Assistance Centers - Region 6** Supports Chapter 1 Rural Technical Assistance Center.	RMC Research Corporation LC 91 0280 06	7/1/91	6/30/94	Hardcastle
1993 1992 1991	$131,549 $124,202 $112,665	**Chapter 1 Rural Technical Assistance Centers - Region 7** Supports Chapter 1 Rural Technical Assistance Center.	RMC Research Corporation LC 91 0280 07	7/1/91	6/30/94	Hardcastle
1993 1992 1991	$129,958 $126,650 $114,677	**Chapter 1 Rural Technical Assistance Centers - Region 8** Supports Chapter 1 Rural Technical Assistance Center.	RMC Research Corporation LC 91 0280 08	7/1/91	6/30/94	Hardcastle
1993 1992 1991	$178,791 $176,085 $167,936	**Chapter 1 Rural Technical Assistance Centers - Region 9** Supports Chapter 1 Rural Technical Assistance Center.	PRC Inc. LC 91 0280 09	7/1/91	6/30/94	Bogart

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1994 1993 1992 1991	$19,994 $300,564 $345,105 $321,671	**Chapter 1 Rural Technical Assistance Centers - Region 10** Supports Chapter 1 Rural Technical Assistance Center.	Research and Training Associates, Inc. LC 91 0280 10	7/1/91	6/30/96	Coates
1994 1993 1992 1991	$6,583,000 $6,788,885 $6,877,008 $4,606,488	**Implementation of the Chapter 1 Longitudinal Study (PROSPECTS)** The purpose of the contract is to respond to the legislative mandate to assess the impact of significant participation in Chapter 1 programs on student and young adult outcomes. The data collection activities began in the 1990-91 school year. In addition to surveying and collecting outcome data on Chapter 1 participants and comparable students in public and private schools, teachers, principals, administrators and parents will also be surveyed. - Bilingual addon listed under Bilingual section.	Abt Associates, Inc. LC 91 0290 01	4/1/91	9/30/97	Scott
1994 1993 1992 1991	$425,000 $269,672 $530,328 $400,000	**Descriptive Data on LEP students from the National Longitudinal Study of Chapter 1** Funds augment the student sample of the Chapter 1 Longitudinal Study in order to oversample an additional 1,000 LEP students each in grades 1 and 3. Data on this augmented sample will be collected and analyzed longitudinally over four years.	Abt Associates, Inc. LC 91 0290 01	4/1/91	9/30/97	Scott
1992 1991	$826,060 $590,909	**Chapter 1 Resources in the Context of State and Local Resources for Education** This study examined how Chapter 1 and other federal funds are used at the district and school level, and whether these funds, and the services that they buy are well coordinated with available State and local funds so as to provide a comprehensive and efficient range of services to meet the needs of at-risk children.	American Institutes for Research LC 91 0300 01	9/1/91	3/30/93	Stullich
1993	$150,000	**OECD Study of Performance Standards** This is a comparison of the levels and methods of assessment for student performance in OECD countries.	OECD transfer	9/30/93	9/30/94	Garcia

718

719

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1993	$50,000	**NAS Board on Testing and Assessment** Support for work on aligning Chapter 1 testing with national and state assessments tied to higher standards and curriculum frameworks, to be conducted by the National Academy of Sciences' Board will produce papers and assist in developing an analytic agenda to integrate Chapter 1 testing and other national efforts. Specific topics to be addressed will follow up on the recommendations of the Chapter 1 Assessment and Testing Panel.	OERI OERI	9/30/93	9/30/94	Bogart
1993	$45,000	**Support for OERI Survey Supplements** Intra-agency transfers support supplements and syntheses of relevant information to be collected through OERI's Schools and Staffing Survey and the National Assessment of Educational Progress.	OERI OERI	8/1/91	12/31/93	Bogart
1993 1991 1990	$37,751 $53,000 $83,000	**Program Improvement Conferences** Support for Chapter 1 Program Improvement Conferences	OESE TRANSFER OESE	2/1/90	3/30/93	Bogart
1993 1992 1990	$160,000 $160,000 $150,000	**Chapter 1 Recognition Program** This contract supports the convening of reviewers for the Chapter 1 Recognition Program.	OESE	10/1/92	9/30/93	Bogart
1993	$46,000	**Task Force on Chapter 1 Testing Issues** Supports work of task force on Chapter 1 testing issues. - Earlier work is shown under work completed.	Policy Studies Associates OESE	9/30/93	9/30/94	Scott
1992 1991	$78,386 $72,000	**Independent Review Panel for the National Assessment of Chapter 1** Supports operation of the mandated Review Panel.	XX 00 0010	10/1/90	9/30/93	Scott

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS
During Fiscal Year 1993

ELEMENTARY AND SECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer

722

723

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

MULTILEVEL AND SPECIAL POPULATIONS

				Project		
FY	Funding Amount	Description of Contract	Contractor and Number	Start Date	End Date	Officer
1994 1993	$504,441 $474,458	**Effective Workplace Literacy Programs** Study will identify and validate effective workplace literacy programs funded under Workplacer Literacy Partnership Program. Study will collect detailed descriptive data and some outcome data from all projects and conduct intensive in-depth studies of selected projects to determine effective practices and approaches.	Mathematica, Inc. EA 93 0240 01	9/30/93	1/30/98	Furey
1994 1993	$321,464 $217,730	**Evaluation of Section 353 State Set- Aside Program for Innovation and Training** This study will provide a detailed description of Section 353 program operations; assess the extent to which States evaluate their programs; examine the impact of projects funded on local adult education programs; and assess the quality of the products.	RMC EA 93 0640 01	6/30/93	3/30/96	Garcia
1991	$150,000	**IHE Survey of Prevention Policies and Programs** This survey described changes in and effects of IHE alcohol and other drug policies and programs which have taken place as a result of the certification requirements in the Higher Education Act Sec. 1213.	Interagency Transfer to NSF EL 91 02NSF	12/1/91	12/1/92	Richards
1994 1993 1990	$150,000 $150,000 $10,000	**Education Achievement and Welfare Reform** An interagency agreement with HHS will allow expansion of the child impacts study, JOBS evaluation, to incorporate data on the educational achievement of children whose parents participate in JOBS. Augmentation of this longitudinal study will permit examination of relationships between parental participation, parental achievement, and child outcomes for highly disadvantaged, Chapter 1 eligible students.	HHS	10/1/91	12/31/98	Glenn
1994 1993	$368,000 $966,656	**JOBS Evaluation** This evaluation of welfare-to-work State operated programs under the JOBS program is being carried out by HHS. The evaluation uses random assignment. The Department provided funds to HHS for achievement testing of participating and control group adults in 3 JOBS sites, to increase the research sample, and to conduct case studies of adult education providers at these sites. The resulting data will permit linking participation in adult education with a variety of other measures and provide information on the impact of literacy training on welfare recipients. Three special studies of adult education for Welfare recepients were conducted: case studies in 4 sites, a synthesis of existing research, and analysis of the GAIN data base from participants in adult education.	MDRC, Inc HHS transfer	7/1/91	12/1/97	Garcia

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS
During Fiscal Year 1993

MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1990 1989	$617,546 $473,000	**Evaluation of the Vocational Education Dropout Prevention Demonstration Projects** This study evaluated dropout prevention and reentry demonstration projects funded under the Perkins Act in an effort to identify promising vocational education approaches to encourage at-risk students to remain in school and for dropouts to return and complete their education. The evaluation was based on a comparison of achievement outcomes for program participants with a comparison group of non-participants. Comparison groups were chosen using random assignment and matching.	RMC Research Corp LC 89 0020 01	2/1/89	6/1/93	Pendleton
1992 1991 1989	$57,932 $200,368 $1,393,331	**Evaluation of Projects Funded by the School Dropout Demonstration Assistance Program** This study evaluated dropout prevention and re-entry demonstration projects funded in FY 1988 by the School Dropout Demonstration Assistance Program. The study provided a comprehensive description of the program and its implementation, as well as data on student outcomes. The evaluation used matched comparison groups to assess student outcomes. Preliminary information from this study was used to design the new model-testing dropout prevention program and study in FY 1991.	American Institutes for Research LC 89 0610 01	10/1/89	8/18/93	Pendleton
1991	$99,896	**Corrections Survey Field Test** The purpose of this study was to refine a draft instrument developed from recommendations of a panel of correction education professionals on data items for a national survey and conduct the field test of the survey form. The national survey collected data on vocational and adult education programs from Federal and State prisons, large jails, and juvenile facilities, as well as education-related data on inmates and provided information on the extent to which inmates in corrections institutions are participating in education programs. It focused on youths eligible for public secondary schooling and on adults eligible for vocational or adult education.	Pelavin Associates, Inc. LC 89 0880 01	9/1/91	9/30/93	Pendleton
1993	$99,991	**Comparisons of Adult Education Tests** This study convened a group of expert consultants in adult education and testing to address the feasibility of linking the most widely-used adult education tests.	Pelavin Associates, Inc. LC 89 0880 01	4/7/93	1/30/95	Pendleton

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1993	$64,000	**Adult Education Information Network** This project will develop and test a computerized system for information sharing on policy, program improvement, and evaluation issues in state-administered adult education programs. The system will also establish capability for computerized data transmission of state data reports to ED.	Pelavin Associates, Inc. LC 89 0880 01	3/30/93	2/26/94	Pendleton
1993	$114,982	**State Implementation of Provisions of NLA of 1991** The purpose of this study is to identify significant issues and report on the progress being made as it relates to the implementation of the national literacy act provisions of 1991.	Pelavin Associates, Inc. LC 89 0880 01	3/10/93	2/28/94	Vespucci
1993	$79,989	**Even Start 1993 Grantees** This study collected and analyzed the June 15, 1993 data from Even Start grantees that begain their projects in October 1991 or 1992 and provided technical assistance in project evaluation..	Pelavin Associates, Inc. LC 89 0880 01	3/9/93	3/9/94	Vespucci
1992	$174,928	**Evaluation of the Adult Education for the Homeless Program** The Adult Education for the Homeless program is a small demonstration program. This study provided a detailed description of the program's services and participant characteristics including assessment of literacy.	Pelavin Associates, Inc. LC 89 0880 01	1/22/92	10/1/93	Furey
1992 1991 1990 1989	$234,682 $239,195 $228,359 $423,000	**Multilevel Technical Support Center** The Multilevel Technical Support Center provided technical support to MSPD on a wide range of Secretarial initiatives and national education policy issues. The support center performed such activities as: secondary data analysis, literature review and syntheses, evaluation studies, and preparing issue briefs and background papers.	Pelavin Associates, Inc. LC 89 0880 01	9/30/89	9/30/93	Pendleton

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS
During Fiscal Year 1993

MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1992	$114,575	**Adult Education Indicators Project** This project provided information to the Department for use in reporting requirements in the National Literacy Act of 1991. The project involved consultation with experts, educators, and administrators regarding appropriate indicators of program quality for adult education.	Pelavin Associates, Inc. LC 89 0880 01	5/29/92	9/1/93	Pendleton
1992	$249,953	**Field Test of Adult Education Models** The contractor tested in selected states and projects, models for evaluating adult education,and developed and field tested a model unit record reporting system.	Pelavin Associates, Inc. LC 89 0880 01	9/4/92	2/28/94	Pendleton
1993	$150,232	**Study of Teacher-Training and Professional Development Practices in the Asia-Pacific Region** This study produced 10 country studies and an overview of structures and methods for selecting, training, licensing and inducting teachers. A proposed second phase will carry out case studies of promising induction practices.	Pelavin Associates, Inc. LC 89 0880 01	9/3/93	9/3/94	Garcia
1993	$114,974	**Even Start Analysis and Reporting** This project involved analysis of data provided by local Even Start project directors and preparation of an interim report.	Pelavin Associates, Inc. LC 89 0880 01	7/12/93	7/12/94	Vespucci
1993	$59,991	**Descriptive Review of Even Start and Head Start Programs** The contractor prepared a briefing paper that provided descriptive information on the requirement, activities, and services provided by Even Start and Head Start along with descriptive tables comparing the target and service populations for each.	Pelavin Associates, Inc. LC 89 0880 01	9/30/93	9/30/94	Vespucci
1993	$66,000	**Funding Simulations** Intra State fiscal equity	Pelavin Associates, Inc. LC 89 0880 01	9/30/93	9/30/94	Pendleton

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

MULTILEVEL AND SPECIAL POPULATIONS

				Project		
FY	Funding Amount	Description of Contract	Contractor and Number	Start Date	End Date	Officer
1993 1992 1991 1990 1989	$299,249 $1,184,831 $574,427 $1,052,121 $296,000	**Even Start Evaluation** This Congressionally-mandated study evaluated the implementation and impact of projects funded under the Even Start Program. Even Start provides a coordinated set of services for families, including adult education, early childhood education, and parenting training. The study provided comprehensive data on participants, services, coordination, implementation, and staff training as well as an in-depth assessment in selected sites.	ABT Associates LC 90 0620 01	1/17/89	2/28/94	Rhett
1994 1993 1991 1990	$58,000 $242,000 $1,903,052 $495,000	**National Evaluation of Adult Education Programs** In FY 1990, the Department launched a national longitudinal study of adult education programs and participants. Funds have been used to conduct a universe survey of service providers and to collect base-year data on a representative sample of such providers. Clients entering the program over a 1-year period are being followed for up to 18 months to obtain comprehensive measures of the intensity and duration of participation. Program outcomes are being evaluated through the application of benchmark data on costs and learning gains, and by comparison of the service population to independent, Census-based estimates of the target population. Key findings will be presented in four reports and summarized in a separate executive summary.	Development Associates LC 90 0650 01	8/14/90	10/31/94	Barnes
1994 1993 1992 1991 1990	$518,752 $1,067,880 $1,000,000 $867,676 $250,000	**Outcomes of DFSCA State and Local Programs** This study is examining the extent to which programs funded under the Act help to reduce and prevent student drug abuse. This is a follow-up to the study of State and local program operations.	RTI LC 90 0700 01	9/30/90	9/30/95	Richards
1993 1992 1990	$36,000 $11,071 $349,921	**Evaluation of Teacher Training for Substance Use Education and Prevention** This study examined training programs for teachers and other education personnel responsible for substance use education and prevention.	STRA, Inc. LC 90 0960 01	9/1/90	4/16/93	Vespucci

BEST COPY AVAILABLE

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1994 1993 1992 1991	$2,000,000 $1,798,680 $2,000,000 $1,463,981	**Evaluation of Restructuring and Targeted Dropout Prevention Projects** This study is evaluating two models of dropout prevention programs -- (1) restructuring and school reform in a cluster of elementary, junior, and senior high schools with extremely high dropout rates and (2) comprehensive programs targeted on at-risk youth. The evaluation of the cluster restructuring model is based on a comparison of educational outcomes before and after restructuring, and a comparison of educational outcomes for students in restructuring schools and a comparison group of students in non-restructuring schools. The evaluation of the comprehensive targeted model is based on a comparison of educational outcomes for program participants and a comparison group. Eligible participants are randomly assigned to treatment and no-treatment groups.	Mathematica, Inc. LC 91 0150 01	9/30/91	10/30/96	Pendleton
1993 1992	$180,477 $300,000	**Evaluation of the DFSCA Regional Centers** This study examined the types and impacts of technical assistance services, including program evaluation, being provided to states, LEAs, and other grantees by the Regional Centers.	Decision Information Resources LC 92 0070 01	9/30/92	11/30/94	Vespucci
1994 1992	$133,000 $190,430	**Review of State Adult Education Grant Allocations** This study used data from the universe survey in the National Evaluation of Adult Education Programs, 1990 Census, and OVAE State plans, to describe the distribution of AEA funds to local providers. The contractor will also survey all 50 State directors of adult education to determine how decisions are made at the State level on allocation of funds to local providers and the extent of coordination with other Federal programs. The results from this study will be used in developing recommendations for AEA reauthorization.	Research Triangle Institute, Inc LC 92 0080 01	9/30/92	9/1/93	Barnes
1993	$283,189	**State Vocational Rehabilitation Services Program Standards** This study provided technical support and data analyses to the regulations olicy group charged with developing standards and indicators for this program.	Research Triangle Institute, Inc. LC 92 0080 01	8/10/93	8/10/94	Hoffman
1993	$64,888	**Case Studies of State Administration of Adult Education Programs** This project will provide a detailed description of how six States administer adult education funding.	Research Triangle Institute, Inc LC 92 0080 01	7/30/93	7/30/94	Pendleton

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1993	$189,342	**Technical Support for Drug Prevention Programs** This project will provide policy and technical assistance for drug prevention programs	Research Triangle Institute, Inc. LC 92 0080 01	4/30/93	4/8/94	Hoffman
1993	$299,727	**Evaluation of Implementation of First Year of the Choice Demonstration** This study has monitored an provided technical assistance to seven demonstration projects in preparation for a national evaluation	Research Triangle Institute, Inc. LC 92 0080 01	9/30/03	9/30/94	Barnes
1994 1993	$150,000 $122,848	**Technical Support for MSPD Evaluations** Provides support for MSPD evaluations	Research Triangle Institute, Inc. LC 92 0080 01	7/21/93	11/16/95	Hoffman
1994 1993 1992	$436,000 $389,151 $429,131	**Evaluation of the Tech-Prep Education Program** In FY 1992, the Department began to evaluate the effectiveness of projects funded under the Tech-Prep Education Act. Tech-prep projects are partnerships between secondary and postsecondary educational institutions to develop and implement 4-year programs designed to provide students with skills in liberal and practical arts and in basic academics, and intense technical preparation leading to a 2-year associate degree or a 2-year certificate. This evaluation will provide comprehensive data on participants, coordination, implementation, curriculum, staff training, and student outcomes.	Mathematica, Inc. LC 92 1070 01	10/1/92	9/30/97	Furey
1993 1992	$49,933 $153,527	**Gatekeeping Movement, Performance Indicators for ED Programs** This project will take performance measures developed in a previous contract and develop performance standards for monitoring and evaluation purposes for up to 5 ED programs.	National Academy of Public Administration LC 92 1190 01	10/1/92	10/30/93	Hoffman

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

MULTILEVEL AND SPECIAL POPULATIONS

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1993	$58,000	**OECD At Risk Children Study** The current phase of this study focuses on an international comparison of service integration as a strategy for meeting the needs of at-risk childrem and youth. The study has produced country papers, case studies, and issue paperss on how to determine cost effectiveness of integrated services and how to cross-train professionals from different disciplines.	OECD	9/30/93	9/30/94	Garcia/Scott

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

POSTSECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1993	$98,871	**Evaluation of the Talent Search Program** The study of the Talent Search program involves case studies of seven projects in order to develop performance measures that can be used by all projects. The study also includes a literature review of the research that has been done on programs that help low-income students to graduate from high school and enroll in postsecondary education.	Decision Information Resources EA 93 1090 01	9/1/93	10/30/94	Eisner
1992	$199,653	**Postsecondary Issues Analysis - NPSAS Data** This task will analyze various postsecondary issues--including, for example, proprietary schools and how to pay for college--using new NPSAS data for 1989-90. It will also compare findings for 1989-90 to the previous year of NPSAS data (1986-87).	Westat, Inc LC 89 0820 01	5/8/92	6/30/94	Henschel
1992 1991 1990	$99,478 $89,680 $79,575	**Integrated Cross-Program Model** The model will make it possible for the Department to estimate costs and distributional implications of Title IV financial assistance programs and proposed changes, taking into account interactions among programs. The Department revised the model to incorporate new data from the 1990 National Postsecondary Aid Study.	Westat, Inc LC 89 0820 01	9/1/89	9/1/93	Goldenberg
1992	$60,000	**Design of Alternative ICL's** This project examined alternative forms of Income Contingent Loans to students in Postsecondary education.	Westat, Inc LC 89 0820 01	8/17/92	10/31/92	Morrissey
1991 1990	$200,000 $200,000	**Evaluation of Quality Control Studies** In this study, the National Academy of Science evaluated ED's quality control approach for student aid and compare ED efforts to activities of other departments. They will also examine policy implications of QC results.	National Academy of Sciences LC 90 0510 01	9/1/90	3/30/93	Goldenberg

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

POSTSECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1992 1991 1990	$497,729 $974,959 $1,302,000	**Effectiveness of Student Support Services Program** Through a longitudinal survey of program participants and disadvantaged students who did not receive student support services, this study assesses the overall effectiveness of Federal aid and the relative effectiveness of alternative strategies on college retention and completion. The study also includes case studies and a project director survey.	Westat, Inc. LC 90 0530 01	9/1/90	6/30/95	Goodwin
1991 1990	$143,770 $138,574	**Study of Demonstration Project on Income Contingent Loans (ICLs)** The study analyzed the feasibility of ICLs at 10 demonstration sites through case studies and surveys of ICL borrowers and other students who did not receive ICLS.	Pelavin Associates LC 90 0580 01	9/27/90	9/1/93	Zwillinger
1991	$215,452	**Accreditation and State Oversight of Institutional Quality** This project examined state practices in licensing and overseeing vocational programs through case studies of several states and accrediting agencies. The purpose of this project is to determine ways to strengthen the role of accreditating agencies and the states in ensuring quality.	Mathtech, Inc. LC 90 1090 01	10/1/91	10/16/92	Zwillinger
1991	$325,999	**Quality of Postsecondary Education** This project examines different aspects of the quality of postsecondary education, including high school preparation, faculty quality, college teaching, remediation, assessment, and admissions standards.	Mathtech, Inc. LC 90 1090 01	5/1/91	9/1/93	Henschel
1992	$299,996	**Effectiveness of Student Aid** This study will commission work by experts to examine a wide range of issues related to the effectiveness of student aid. Such issues include effects of different types of aid (grants vs. loans) and differential effects on population subgroups. The study will also examine technical and methodological issues related to determining these effects and recommend ways to address the technical concerns.	Mathtech, Inc. LC 90 1090 01	6/22/92	4/22/93	Berls/Goldenberg

ACTIVE EVALUATION CONTRACTS

During Fiscal Year 1993

POSTSECONDARY EDUCATION

FY	Funding Amount	Description of Contract	Contractor and Number	Project Start Date	Project End Date	Officer
1992 1991	$50,000 $117,600	**Postsecondary Institutional Analysis Support Center** Quick Turnaround Support	Mathtech, Inc. LC 90 1090 01	8/27/91	9/30/93	Henschel
1992	$240,000	**Analysis of Collection Strategies for Reducing Defaults in the Guaranteed Student Loan Program** This study examined collection strategies at several State guarantee agencies and will analyze a broad variety of collections data to compare the relative effectiveness of their strategies.	Mathtech, Inc. LC 90 1090 01	8/17/92	12/30/93	Berls/Morrisey
1992	$50,000	**Income Contingent Loan Design** Evaluation design for an analysis of income contingent loans.	Mathtech, Inc. LC 90 1090 01	2/6/92	9/30/93	Henschel
1991 1990	$450,000 $550,000	**Assessment of Federal Postsecondary Vocational Education and Training** Through joint study with Federal agencies other than ED, The National Academy of Sciences examined Federal strategies and programs that provide postsecondary vocational education and training.	National Academy of Sciences LC 90 1100 01	9/1/90	3/1/93	Goodwin
1993 1991	$19,973 $347,334	**Evaluation of Default Reduction Measures** This study examined the effectiveness of recent legislative and regulatory default reduction initiatives.	The Macro, Inc. LC 91 0670 01	9/7/91	9/30/93	Morrissey
1992 1991	$236,185 $399,753	**Evaluation of the Student Literacy Corps Program** This study examined program implementation and the effects of tutoring. It looked for lesons learned in this program that would be helpful in setting up future service/mentoring programs at colleges and universities.	Policy Studies Associates LC 91 1190 01	9/1/91	6/30/94	Henschel

BEST COPY AVAILABLE

ACTIVE EVALUATION CONTRACTS

POSTSECONDARY EDUCATION

During Fiscal Year 1993

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1994 1993 1992	$1,462,000 $1,298,677 $950,000	**Effectiveness of TRIO: Evaluation of Upward Bound Projects** This mandated study examines the effect that Upward Bound has on college enrollment and persistence of disadvantaged high school students. The study includes a longitudinal survey of participants and a comparison group, a survey of project directors, case studies of Upward Bound and alternative pre-collegiate programs.	Mathematica, Inc LC 92 0010 01	1/1/92	1/30/97	Goodwin
1994 1993	$49,967 $74,564	**Evaluation of the Paul Douglas Program** Task order will provide funding for evaluation of Paul Douglas Program. Program appropriation funds will be used.	Westat, Inc. LC 92 0620 01	9/30/93	9/30/95	Eisner
1993	$199,459	**Effect of Student Loans** This project will analyze the effect of loans on individuals, access to, choice of, and persistence in postsecondary education.	Westat, Inc. LC 92 0620 01	3/30/93	3/30/94	Henschel
1993	$99,540	**Changes in State Financing of Postsecondary Education** This task will analyze recent changes in state financing of postsecondary education caused by the recession and the growing share of states' budgets going to Medicaid, corrections, and other non-discretionary areas.	Westat, Inc. LC 92 0620 01	3/30/93	3/30/94	Goldenberg/Larin
1994 1993	$150,000 $99,759	**Improvement of ED Forecasting Models** This task will provide for contractor support and improvement of integrated cross-program model.	Westat, Inc. LC 92 0620 01	3/17/93	3/30/95	Goldenberg
1994 1993 1992	$100,000 $100,000 $295,853	**Technical Analyses for Postsecondary Issues** This project provided technical support and analysis for HEA reauthorization and other post secondary issues.	Westat, Inc. LC 92 0620 01	9/30/92	9/30/95	Berls

POSTSECONDARY EDUCATION

ACTIVE EVALUATION CONTRACTS
During Fiscal Year 1993

FY	Funding Amount	Description of Contract	Contractor and Number	Project		Officer
				Start Date	End Date	
1993	$99,907	**Direct Loan Demonstration Sample Design** Contractor developed a data base to assist ED in selection of schools for Direct Loan pilot program.	Westat, Inc. LC 92 0620 01	4/6/93	4/6/94	Zwillinger
1993 1992 1991 1990	$1,250 $1,500 $154,394 $1,000	**Higher Education Surveys** Established to conduct brief surveys of higher education institutions. The panel consists of approximately 1100 insitutions.	Westat, Inc. SRS8520082	10/1/85	2/28/95	Goldenberg

BEST COPY AVAILABLE

INDEX TO THE BIENNIAL EVALUATION REPORT

INDEX TO THE BIENNIAL EVALUATION REPORT

Note: All three-digit numbers are chapter references. These numbers appear in the upper-right hand corner of each page of the report.

A

Academic Facilities, 525,526
Adult Education:
    Grants to States, 410
    Homeless Program, 412
    Indian Education, 114
    Life Skill and Local Prison, 416
    State-Administered English Literacy,. 414
    National Programs, 411, 413, 416
Alcohol and Drug Abuse Education, 115-121, 534
American Indians. See Indian Education
American Printing House for the Blind, 335
Arts in Education Program, 127

B

Bilingual Education:
    Academic Excellence, 201
    Developomental, 201
    Evaluation Assistance Centers, 202
    Family English Literacy, 201
    Fellowships, 203
    Immigrant Education, 204
    Multifunctional Resource Centers, 203
    Natiional Clearinghouse, 202
    Research and Evaluation Program. 202
    Special Alternative Instruction, 201
    Special Populations, 201
    State Education Agency Programs, 202, 204
    Support Services, 204
    Training Projects, 203
    Transition Program for Refugee Children, 204
    Transitional, 201
    Vocational Instructor Training Programs, 409
    Vocational Materials, Methods, & Techniques Program, 406

        Vocational Training Program, 406
Blue Ribbon Schools, 624
Blind. See Deaf-Blind, Programs for
Book Distribution, Inexpensive, 128
Business and International Education (Language Training, Area Studies), 523
Byrd, Robert C., Honors Scholarship Program, 530

C

Captioning and Media Services, 312
Carl D. Perkins Loan program, 504
Centers for Independent Living, 330, 333
Chapter 2 Program, 105
Christa McAuliffe Fellowship Program, 124
Civil Education, 623
Civil Rights Technical Assistance & Training, 107
Client Assistance Program, 322
Close Up Foundation (Ellender Fellowships), 111
College Housing Loans, 525, 526
College Work-Study, 507
Consolidation of Programs for Elementary and Secondary
        Education, 105
Construction, Schools (in Federally Affected Areas), 110
Consumer and Homemaking Education, 404
Cooperative Education, 524

D

Deaf-Blind, Program for, 305, 307, 319, 325, 328, 332
Delinquent Children, 103
Desegregation Assistance:
        On the Basis of National Origin, 107
        On the Basis of Race, 107
        On the Basis of Sex, 107, 123
Disadvantaged Students:
        Children in State-Administered Institutions, 101
        Education for, 101-103, 105, 108, 111, 201-205, 404
        Higher Education, 501, 503, 504-511, 516, 517, 519, 520, 530,
        Legal Training for, 127, 520
        Support Services for, 307, 510-511
        Vocational Education Programs for, 404
Disaster Aid, 110
Dislocated Workers, Demonstration Centers for, 404

Doctoral Dissertation Research Abroad (Fullbright-Hays), 522
Dougals, Paul, Teacher Scholarship Program, 529
Dropout Students:
  Handicapped, 302, 313, 314
  Indian Students, 113
  School Dropout Demonstration Assistance Program, 134
  Talent Search, 509
  Vocational Education, 404
Drug Abuse, 115-121, 534
Drug-Free Schools and Communities:
  Early Intervention, 115
  Education, 115-121, 532
  Federal Activities Grants Program, 121
  Hawaiian Natives, 117
  Higher Education, 119, 120, 121, 532
  Indian Youth, 118
  Prevention, 115-121, 534
  Rehabilitation Referral, 115
  Training, 122

E

Early Childhood Education for Handicapped Children, 306, 318
Education Consolidation and Improvement Act of 1981, 102
Education for the Disadvantaged, 101-103, 105, 108, 111, 201-205, 319, 404, 503, 504, 506-512, 516, 517, 518, 530 605
Educational Opportunity Centers, 510
Ellender, Allen J., Fellowships, 111
Employment Services, Supported, 334
Entitlement Grants to Local Education Agencies and Indian-Controlled Schools, 112
Even Start Program, 104

F

Faculty Research Abroad (Fulbright-Hays), 522
Fellowships:
  Bilingual Teachers, 203, 523
  Disadvantaged Secondary School Students and Their Teachers, 111
  Elementary and Secondary Schoolteachers, 124
  Foreign Language and Area Studies, 522, 523
  Graduate and Professional Study, 113, 519-520, 528, 531

    Indian Students, 113
    Minority Students, 531
Film, Captioned (Media Services), 312
Follow Through, 108
Foreign Language and Area Studies, 135, 523
Fulbright-Hays Grants, 522
Fund for the Improvment and Reform of Schools and Teaching
    (FIRST), 619
Fund for the Improvement of Postsecondary Education (FIPSE), 513

G

Gallaudet University, 335
General Assistance to the Virgin Islands, 106
Graduate and Professional Study, Fellowships for, 113, 520-522,
    531, 532, 528
Guaranteed Student Loans, 504

H

Handicapped:
    Architectural Barriers, Removal, 317
    Arts in Education, 127
    Client Assistance Program, 322
    Deaf-Blind, Programs for, 305, 308, 319, 325, 330, 331
    Higher Education for, 308, 511
    Independent Living, 333, 330
    Indians, 331
    Inexpensive Book Distribution, 128
    Information Clearinghouse, 310
    Media and Films for, 312
    Migrant and Seasonal Farm Workers, 327
    National Institute on Disability and Rehabilitation
        Research (NIDRR), 320
    Personnel Training and Recruitment for Education of, 309,
        310, 323
    Postsecondary Education, 308, 510
    Preschool, 302, 303, 306, 318
    Regional Resource Centers, 304
    Research, Demonstration, 306-308, 311, 313, 318, 322,
        331, 407
    Secondary Education, 314
    Services to, 125, 301-315, 318, 319, 320, 323-332, 333, 334,

335, 336, 337, 401
  Severely Handicapped, 307, 322, 328, 334
  Special Studies, 313
  State Grant Program, 302
  State-Supported School Programs, 301
  Supported Employment Services, 334
  Technology, 319, 336
  Transitional Services, 314
  Vocational Education, 404, 408
  Vocational Rehabilitation for, 314, 319, 322, 324, 326, 328, 331, 401
Handicapped Children, Early or Preschool Education for, 302, 311
Harris, Patricia Roberts, Fellowships, 521
Hawaiian Natives, 117, 130,405
Helen Keller National Center, 328
High School Equivalency Program, Migrant Education, 126
Higher Education:
  Construction Loans, 525, 526
  Cooperative Education, 524
  Developing Institutions, 516, 517, 518
  Direct Grants, 501, 502
  Drug Prevention, 119-121, 534
  for the Deaf, 308
  for the Disadvantaged, 501-511, 515, 518, 521 531, 605
  for the Handicapped, 308, 511
  for Indian Students, 112-114
  for Migrant Students, 126
  for Veterans, 512
  Guaranteed Student Loans, 504
  Housing Loans, 526
  Improvement, 513
  Institutional Aid, 501-512, 514, 515, 524, 525, 527, 533, 605-610
  Law, 519, 520
  Postgraduate, 518-520, 521, 528, 531
  Special Staff Training, 514
  State Student Incentive Grants, 507
  Supplemental Educational Opportunity Grants, 503
  Talent Search, 509
  Work-Study, 507
Homeless:
  Adult, education, 412
  Alcohol and Drug Abuse, 412

  - Child Care, 412
  - Counseling, 412
  - Employment Training, 412
  - Food/Shelter, 412
  - Job Placement, 412
  - Literacy Training, 412
  - Youth, education, 133

Howard University, 533

I

Immigrant Education Program, Emergency, 204
Impact Aid. See School Assistance in Federally Affected Areas
Incarcerated Individuals, 103, 401, 408
Incentive Grants to States for Student Assistance, 507
Income-Contingent Loan Demonstration Program, 506
Independent Living, Centers for, 330, 332
Indian Education:
  - Adult Indian Education, 114
  - Demonstration Projects, 113
  - Educational Service Projects, 113
  - Fellowships for Indian Students, 113
  - Gifted, Talented Centers, 113
  - Grants, 113
  - Personnel Development Projects, 113
  - Resources and Evaluation Centers, 113
  - Vocational Education, 402
  - Vocational Rehabilitation, 331

Indian Students, Services or Aid to, 101, 112, 113, 118, 328, 402
Inexpensive Book Distribution, 126
Institutions of Higher Education:
  - Partnerships, 527
  - Payments to, 511, 517, 525, 526, 605-7

Interest Subsidy Grants for Academic Facilities Loans, 526
Interlibrary Cooperation, State Grants, 604
International Education and Business Program (Language Training and Area Studies), 523

J

Jacob K. Javits Fellowships Program, 528
Jacobs K. Javits Gifted and Talented Students
    Education Program, 618

L

Languages, Foreign, 135
Language and Area Studies, 522, 523
Language-Minority or Limited-Proficient, Services or
    Aid to, 101, 102, 201-205, 409, 602
Law-Related Education, 129, 519
Law School Clinical Experience Program, 519
Leadership in Educational Administration Development, 613
Legal Training for the Disadvantaged, 520
Libraries:
    Career Training, 609
    College Library Technology and Cooperation Grants, 608
    Construction Grants, 603
    for Indian Tribes and Hawaiian Natives, 605
    Grants to State Library Agencies, 602-604, 608
    Libraries Education, 609
    Literacy Programs, 607
    Public Library services, State Grants, 602-604
    Research and Demonstration, 610
    State Libraries Resources Centers, 415
    Strengthening Research Library Resources, 611
Literacy:
    Adults, 413, 602, 607
    Family English Literacy Program, 201
    Hearing Impaired, 312
    Homeless Adults, 412
    Inexpensive Book Distribution, 126
    Library Programs, 604
    National Workplace Literacy Program, 413
    State-Administered English Literacy, 413
    Student Literacy Corps, 535
    Reading is Fundamental (RIF), 128
    Volunteers, 602

M

Magnet Schools Assistance, 132

Mathematics and Science Education State Grant Program, Dwight D. Eisenhower, 131
Mathematics and Science Education National Program, Dwight D. Eisenhower, 614
Media Services and Captioned Film Loan Program, 312
Migrant Education:
    Adult Education, 410
    College Assistance Migrant Program, 126
    Handicapped, 327
    High School Equivalency Program, 126
    Literacy, 410, 411
    Migrant Education Program, 102
    Migrant Student Record Transfer System, 102
Minority Institutions, 517, 533
Minority Students, Services or Aid to, 101, 102, 108, 111, 201, 205, 406, 503-511, 516, 517, 518, 531, 602, 605

N

National Center for Research in Vocational Education, 401
National Diffusion Network, 613
National Institute on Disability and Rehabilitation Research (NIDRR), 320
National Technical Institute for the Deaf (NTID), 335
Neglected Children, 103

P

Partnerships for Educational Improvement, 105, 127-29, 329 403, 613, 619
Patricia Roberts Harris Fellowships, 521
Paul Douglas Teacher Scholarship Program, 529
Pell Grants, 501
Perkins, Carl ., Loan Program, 504
Personnel Training, Recruitment for Education of the Handicapped, 310, 311, 316, 323
Postsecondary Education. See Higher Education
Preschool Education for Handicapped Children, 303, 304, 306, 318, 319
Professional Study, Fellowships for, 520-522
Projects With Industry, 329
Public Library Services, State Grants, 602-604

R

Reading is Fundamental (Inexpensive Book Distribution), 126
Refugee Children, 204
Rehabilitation. See Vocational Rehabilitation
Research and Development:
    Handicapped, 311, 315, 316, 318
    Libraries, 608, 609
    Vocational Education, 405
Robert C. Byrd Honors Scholarship Program, 530

S

School Assistance in Federally Affected Areas: Maintenance and Operations, 109
    School Construction, 110
School Dropout Demonstration Assistance Program, 134
School Improvement (Star Schools), 617
Seasonal Farm Workers. See Migrants
Secretary's Fund for Innovation in Education, 620
Special Education, Recruitment and Information, 309, 310
Star Schools, 617
State Formula Grants, 102
Support Services for Disadvantaged Students, 307, 511
State Student Incentive Grants, 507
Strengthening Research Library Resources, 610
Student Assistance, Postsecondary, See Higher Education
Supplemental Education Opportunity Grants, 503
Supported Employment Services 334

T

Talent Search, 509
Teacher Training:
    Bilingual Education, 203, 204
    Special Education, 309
    Teachers of Secondary Disadvantaged Students, 111
    Territorial Teachers, 601
    Vocational (Bilingual), 409
Training:
    Bilingual Education Projects, 203
    Librarians, 605
    Rehabilitation Personnel, 309, 323

Special Program Staff, 514
Training and Recruitment, Handicapped Education, 309, 310

U

Upward Bound, 508

V

Veterans:
Disadvantaged, 512
Incarcerated, 512
Postsecondary Education, 512
Veteran's Education Outreach Program, 512
Virgin Islands, General Assistance to, 106
Vocational Education:
Basic Grants to States, 401
Bilingual. See Bilingual Education, Vocational Programs
Community-Based, 403
Consumer and Homemaking Education, 404
Cooperative Demonstration Programs, 406
Curriculum Coordination Centers 404
Programs for the Disadvantaged, 401, 406
Programs for Indian Tribes and Hawaiian Natives, 331, 402, 406
Research and Occupational Information, 407

U.S. GOVERNMENT PRINTING OFFICE: 1995 — 393-379/30326

U.S. DEPARTMENT OF EDUCATION
Office of the Under Secretary